

Continental Investors Services, Inc. Privacy Policy, Business Continuity Plan & Emergency Hotline Information

At Continental Investors Services, Inc. (CIS) we are committed to protecting your privacy and the confidentiality of your personal and financial information. The measures we take to keep your personal information private and secure are outlined below.

How We Protect Confidentiality CIS uses procedural, physical and electronic system safeguards to store and secure information about you in compliance with federal standards. Our systems protect your information from unauthorized access, alteration, and destruction. Access is permitted only to those individuals within our organization who need the information to perform their job responsibilities.

Persons Covered by the Privacy Policy The CIS Privacy Policy applies to anyone who is a current or former CIS brokerage client. CIS provides you with a copy of this policy when you open an account, and available on our website. www.cisinvest.com. If there is a change in policy regarding the sharing of information, you will be notified in advance and given the opportunity to "opt out" of such disclosure.

How We Obtain Information About You In the normal course of business, we collect, retain and use information about you to serve your financial needs, administer your account(s) and inform you to products and services that may be of interest. This data, known as non-public personal information, may be collected from several sources, including: applications and other forms you file with us (e.g., name, assets, income), records of transactions with us, our affiliates, non-affiliated third parties and others (e.g., credit report). Because we strive to provide you with the best possible service, the accuracy and completeness of your personal information is important to us. We ask that you review your information regularly to ensure that it is correct. Please contact your account representative if you need to correct or update your personal information.

Sharing Information With Whom and Why CIS does not sell your personal information to anyone. We restrict the types of information we share and the types of entities with whom we share it. The primary reason for sharing information about you is to increase your convenience in transaction business with us and to give you more financial service choices. We do not disclose your personal information to non-affiliated third parties, unless one of the following exceptions applies: We disclose personal information to service providers that assist us in processing your transactions or servicing your account(s). An example would be the company that prints and mails your account statement. We disclose or report personal information in limited circumstances when we believe in good faith that disclosure is required or permitted under law. For example, we would provide information in cooperation with securities regulators or law enforcement authorities, to resolve consumer disputes, or to perform credit evaluations and authenticate checks.

Internet Security We do not retrieve account or personal information from visitors who browse the public (pre-logout) areas of our Web site, www.cisinvest.com. Clients who have the ability to access their accounts online are required to log on with their user name and individually selected password. Your password is known solely to you, the client, and should never be shared with anyone. You may change your password as often as you wish. When you access your account online, it is through a Secure Socket Layer-encrypted session between your browser and Hilltop Securities, Inc. servers. To ensure the highest level of security, they have installed VeriSign Global Server IDs on each server. They have assured us they will continue to enhance security procedures as new technologies become available. Each time you access your account please don't forget to log off when you are finished. This will prevent someone else from accessing your account if you leave your computer and your session hasn't automatically shut down. CIS employees use information about you to respond to your needs and to provide you with information about specific products in which you may have an interest. We instruct our employees to use strict standards of care in handling the personal, confidential information of customers and remind them on a regular basis of their obligations with regard to the confidentiality of customer information.

Option to Opt Out and Change Notices If for any reason at any time in the future, we find it necessary to disclose any of your personal information in a way that is inconsistent with this policy, we will give you advance notice of the proposed change and the opportunity to opt out of such disclosure.

Disclosure of Order Routing Procedures Should you have any questions concerning the availability of information regarding our order routing practices, please contact us at 1-800-525-0181.

SIPC, FINRA, SEC and MSRB You may obtain information about SIPC, including the SIPC brochure by contacting SIPC at (202) 371-8300 or by visiting their website at www.sipc.org, website for FINRA www.finra.org, website for SEC www.sec.gov, website for MSRB www.msrb.org. Investor brochure is available on the MSRB website for your review.

Customer Orders CIS does not trade ahead of customer orders. If you have questions or concerns, please contact us at 1-800-525-0181.

Business Continuity Plan – Emergency Hotline Information If you cannot reach us at 1-800-525-0181 during regular business hours, (6:30 a.m. – 4:00 p.m. PDT, Monday – Friday Holidays not included) we may be experiencing a significant business disruption, at which time you can contact our clearing firm Hilltop Securities, Inc. at 1-214-859-1800. In the event that Hilltop Securities cannot be reached the Emergency Hotline Number is 1-866-797-5227.

If you have questions or concerns, please contact us at 1-800-525-0181.

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