

**SummitAlliance Investment Group**  
**SummitAlliance Securities, LLC**  
**SummitAlliance Advisors, LLC**  
**SummitAlliance Capital Management, LLC**  
**Financial Counseling Corporation**

**NOTICE OF PRIVACY POLICY**

Information Only – No Response Necessary

At SummitAlliance Investment Group, protecting your privacy is very important to us. We want you to understand what information we collect and how we use it. We collect and use “nonpublic personal information” in order to provide our customers with a broad range of financial products and services as effectively and conveniently as possible. “Nonpublic personal information” is information about you that is not available to the general public.

The USA PATRIOT Act requires all financial institutions, including SummitAlliance Investment Group, to obtain, verify, and maintain information that identifies each person who opens a new account with the Company. When you open an account, we will ask for your name, address, date of birth and other information that will allow us to identify you. We may also ask to see your driver’s license or other identifying documents. We will also collect financial information necessary to determine the suitability of the securities and insurance products we recommend to you.

For accounts or policies owned by an entity other than an individual, the Company may obtain a copy of the trust document, articles of incorporation, partnership documents, or other similar documents. All such documents will be retained solely for the purpose of customer identification as required by law and the Company accepts no responsibility for the enforcement or administration of any of the terms thereof.

Among other sources, we may collect nonpublic personal information about you from:

- Applications or other forms;
- Transactions with us, our affiliates, or others;
- Affiliated companies and non-affiliated third parties, including consumer reporting agencies; and
- Interviews, conversations, and other written or verbal communications.

We do not disclose nonpublic personal information about you to non-affiliates without your express consent, except as permitted by law. We may disclose your nonpublic personal information to companies with which we share common ownership and with institutions with which we have joint marketing agreements.

We restrict access to your nonpublic personal information and only allow disclosures to persons and companies as permitted by law to assist in providing products or services to you. We maintain physical, electronic, and procedural safeguards to protect your nonpublic personal information.