

**FACTS**

**WHAT DO OUR FIRMS DO WITH YOUR PERSONAL INFORMATION?**

**Why?**

Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.

**What?**

The types of personal information we collect and share depend on the product or service you have with us. This information can include:

- Social Security number and other identifying information
- risk tolerance and investment objectives
- income and assets

When you are *no longer* our customer, we continue to share your information as described in this notice.

**How?**

All financial companies need to share customer's personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customer's personal information; the reasons our firms chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does U.S. Capital Advisors LLC share?	Can you limit this sharing?
<b>For our everyday business purposes</b> - such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
<b>For our marketing purposes</b> - to offer our products and services to you	Yes	No
<b>For joint marketing with other financial companies</b>	No*	We don't share
<b>For our affiliates' everyday business purposes</b> - information about your transactions and experiences	Yes	No
<b>For our affiliates' everyday business purposes</b> - information about your creditworthiness	No*	We don't share
<b>For our affiliates to market to you</b>	No*	We don't share
<b>For nonaffiliates to market to you</b>	No*	We don't share

**\*If this changes in the future you will have the ability to opt out.**

**Questions?**

Call 713-366-0500 or go to [www.uscallc.com](http://www.uscallc.com)

## Who we are

<b>Who is providing this notice?</b>	U.S. Capital Advisors LLC and its subsidiaries USCA Securities LLC, USCA Insurance Agency LLC, USCA Municipal Advisors LLC, USCA Asset Management LLC and USCA Investment Holdings LLC and its subsidiary entities (collectively "USCA").
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## What we do

<b>How does USCA protect my personal information?</b>	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.
<b>How does USCA collect my personal information?</b>	<p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"> <li>■ open an account or direct us to buy and sell securities</li> <li>■ submit ID verification or provide contact information</li> <li>■ make a wire transfer</li> </ul> <p>We also collect personal information from others, such as our affiliates, consumer reporting agencies including Equifax, Lexis Nexis, our clearing firm, and more.</p>
<b>Why can't I limit all sharing?</b>	<p>Federal law gives you the right to limit only</p> <ul style="list-style-type: none"> <li>■ sharing for affiliates' everyday business purposes - information about your creditworthiness</li> <li>■ affiliates from using your information to market to you</li> <li>■ sharing for nonaffiliates to market to you</li> </ul> <p>State laws and individual companies may give you additional rights to limit sharing.</p>

## Definitions

<b>Affiliates</b>	<p>Companies related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> <li>■ U.S. Capital Advisors subsidiary companies include USCA Securities LLC, USCA Insurance Agency LLC, USCA Municipal Advisors LLC, USCA Asset Management LLC and USCA Investment Holdings LLC. Advisory services are provided through an independent affiliate U.S. Capital Wealth Advisors, LLC ("USCWA"). Piton Investment Management, LP is an affiliate of USCWA.</li> </ul>
<b>Nonaffiliates</b>	<p>Companies not related by common ownership or control. They can be financial and nonfinancial companies</p> <ul style="list-style-type: none"> <li>■ We do not share your personal information for nonaffiliates to market to you.</li> </ul>
<b>Joint marketing</b>	<p>A formal agreement between nonaffiliated financial companies that together market financial products or services to you.</p> <ul style="list-style-type: none"> <li>■ We do not engage in joint marketing with nonaffiliates.</li> </ul>

## Other important information

USCA reviews our privacy policies annually and will provide a current privacy policy to our clients at the time a new account is opened and on an annual basis thereafter. USCA maintains an introducing relationship with National Financial Services ("NFS"), a Fidelity Investments™ company. NFS provides trade execution, clearing, and other related services for your USCA accounts. Information concerning the NFS privacy policy can be viewed at the NFS website, for more information please visit [www.mybrokerageinfo.com](http://www.mybrokerageinfo.com).