

## FACTS

### WHAT DOES U.S. CAPITAL WEALTH ADVISORS, LLC 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
- net worth, 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 customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons U.S. Capital Wealth Advisors chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does U.S. Capital Wealth 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.uscwealth.com](http://www.uscwealth.com)

## Who we are

### Who is providing this notice?

U.S. Capital Wealth Advisors, LLC

## What we do

### How does U.S. Capital Wealth protect my personal information?

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.

### How does U.S. Capital Wealth collect my personal information?

We collect your personal information, for example, when you

- open an account or give us your income information
- tell us about your portfolio or submit ID verification
- make a wire transfer or other money movement

We also collect your personal information from others, such as credit bureaus, affiliates and other companies.

### Why can't I limit all sharing?

Federal law gives you the right to limit only

- sharing for affiliates' everyday business purposes - information about your creditworthiness
- affiliates from using your information to market to you
- sharing for nonaffiliates to market to you

State laws and individual companies may give you additional rights to limit sharing.

## Definitions

### Affiliates

Companies related by common ownership or control. They can be financial and nonfinancial companies.

- Piton Investment Management, LP, USCA Securities LLC, USCA Asset Management LLC, USCA Insurance Agency LLC, USCA Family & Executive Services LLC and other affiliated companies with the USCA name.

### Nonaffiliates

Companies not related by common ownership or control. They can be financial and nonfinancial companies

- U.S. Capital Wealth does not share your personal information for nonaffiliates to market to you.

### Joint marketing

A formal agreement between nonaffiliated financial companies that together market financial products or services to you.

- U.S. Capital Wealth does jointly market with nonaffiliates.

## Other important information

U.S. Capital Wealth Advisors, LLC maintains custodial and service agreements with The Charles Schwab Corporation ("Schwab") and Fidelity Brokerage Services, LLC ("Fidelity"). Fidelity, their affiliate National Financial Services, LLC ("NFS"), and Schwab provide trade execution, clearing, custody and other related services. The Privacy Policies for Schwab, Fidelity and NFS can be found on their respective websites.