

# Privacy Policy

## Notice of Privacy Policy

We at Mountain Capital Investment Advisors, Inc. are committed to safeguarding the personal information of our customers. This notice will help you understand how we safeguard and use the information we collect.

**Why and How We Collect Personal Information:** We collect information that assists us in servicing your financial needs. This information helps us provide you with a high standard of customer service, process your transactions, provide products that may interest you and fulfill legal and regulatory requirements. The personal information we collect includes information collected on applications and related forms such as, name, address, social security number, bank reference, annual income and net worth.

**How We Protect Information:** Our employees maintain and protect the confidentiality of your personal information by utilizing physical, electronic and procedural safeguards.

**Disclosure of Information:** Non-affiliated third parties – We may disclose any personal information to or as directed by your broker or when we believe it necessary for the conduct of our business, or where law requires disclosure. For example, personal information may be disclosed for audits, to attorneys or other professionals, or to law enforcement and regulatory agencies as necessary to protect our property or rights. In addition, we may disclose personal information to third party service providers through our broker/dealer, National Planning Corporation (NPC) such as mutual fund companies and clearing firms to enable them to provide business services for us by performing computer related or data maintenance or processing services, to facilitate the processing of transactions requested by you, and to assist in offering products and services. Except in those specific, limited situations, without your consent, we will not make any disclosures of your personal information to other companies who may want to sell their products or services to you. For example, we do not sell customer lists and we will not sell your name to a catalogue company or any marketing agencies. Southwest Investment Advisors, Inc. policy requires all third parties to sign strict confidentiality agreements.

**Former Customers:** This policy applies to former customers as well as current customers.

**Maintaining Accurate Information:** We strive to maintain complete and accurate information on you and your accounts. We will give you reasonable access to the information we have about you. If you have a question or concern about your personal information or this privacy notice, please contact us.

**Further Information:** We reserve the right to change this Privacy Policy. The examples contained in this Privacy Policy are illustrations and they are not intended to be exclusive. This notice complies with Federal law and SEC regulations regarding privacy. This notice is being furnished on behalf of Mountain Capital Investment Advisors, Inc. Investment Adviser Registered with the Securities Division of the State of Colorado. If you have accounts managed by Mountain Capital Investment Advisors, Inc. and you would like a copy of our Form ADV, Part IIA-IIB, please contact us:

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