

## Discipline Advisors Privacy Policy

Discipline Advisors, Inc. (DAI) understands the value you place on maintaining your privacy when it comes to financial matters. Therefore, we limit access to customer information to individuals in our organization who need it in order to perform their jobs.

DAI collects information about you to help us provide better customer service, better serve your financial needs, offer new products or services, and fulfill legal and regulatory requirements. The type of information that we collect varies according to the products or services you request, and may include:

- Information included on your new account form and related forms (such as name, address, Social Security number, date of birth, assets and income);
- Information we receive from you in telephone conversations with you; personal information about your account activity, including your transactions, balances, positions and history. This information allows us to administer your account and provide the services that you have requested;
- Information from your employer, benefit plan sponsor, or association (such as name, address, Social Security number, age and marital status);

In addition to personal information that you provide to us, we may receive information about you that you authorize third parties to provide us. We may also obtain personal information from third parties in order to verify your identity, prevent fraud or to help us identify products and services that may benefit you.

We do not sell information about current or former clients or their accounts to third parties. In compliance with federal and state laws, we may disclose some or all of the information we collect about our customers and former customers, as described above, to non-affiliated businesses such as:

- Companies that perform services for us or on your behalf, including the sub-managers who manage your assets;
- Companies that participate in joint marketing activities with us;
- Financial services companies (such as your custodian and brokers or dealers) who effect transactions on your behalf;
- Other organizations, with your consent or as directed by your representative; These companies are required to treat your private information with the same high degree of confidentiality that we do and only for the services for which they are engaged.

We may also disclose information to non-affiliated parties as allowed by law, such as in responding to a subpoena, preventing fraud, or complying with an inquiry by a government agency or regulator.

If you are a former customer, these policies also apply to you; we treat your information with the same care as we do information about current customers.

We are a registered investment advisor with the United States Securities and Exchange Commission (SEC). We have a material relationship with Concorde

Investment Services (CIS) who acts as our broker/dealer. They are a member of the Financial Industry Regulatory Authority (FINRA). As such, we may disclose all of the information we collect about you to them, and they in turn may share information with us. They must keep this information confidential and use it only to provide services as allowed by applicable law or regulation. They are not permitted to share or use this information for any other purpose.

If your relationship with us ends, we will continue to protect your personal information in accordance with this privacy policy. We therefore may continue to share your personal information as previously described and permitted by law. If you do not wish us to share this information on or after your relationship ends with us, please notify us in writing and we will honor your request.

As required by federal law, we will notify you of our Privacy Policy annually. We reserve the right to modify this policy at any time, but we will promptly alert you if we do make any material changes.