



Client Account Information

Lion Street Financial is a Registered Broker-Dealer. As a client, you should be aware of the firms' policies regarding our use of the information you provide us when establishing or while maintaining a relationship with us.

PRIVACY POLICY

Who is providing this notice? Lion Street Financial, LLC **How does Lion Street Financial, LLC collect my personal information?** We collect your personal information, for example, when you: open an account or update an existing account. **What does Lion Street Financial, LLC do with your personal information?** 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. 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 account numbers. When you are no longer our customer, we continue to share your information as described in this notice. All financial companies need to share client personal information to run their everyday business. In the section below, we list the reasons financial companies can share their client personal information; the reasons Lion Street Financial chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information:	Does Lion Street Financial share?	Can you limit this sharing?
For our everyday business purposes – such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	Yes
For our marketing purposes – to offer our products and services to you	Yes	No
For joint marketing with other financial companies	No	Yes
For our affiliates' everyday business purposes – information about your transactions and experiences	Yes	No
For our affiliates' everyday business purposes – information about your creditworthiness	No	Yes
For non-affiliates to market to you	No	Yes

DEFINITIONS

Affiliates: companies related by common ownership or control. They can be financial and non-financial companies.

Non-affiliates: companies not related by common ownership or control. They can be financial and non-financial companies.

Joint marketing: A formal agreement between non-affiliated financial companies that together market financial products or services to you.

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 non-affiliates to market to you. **How does Lion Street Financial, LLC protect my personal information?** To protect your personal information from unauthorized access and use, we use security measures that comply with federal law, including computer safeguards and secured files and buildings.

CHANGES TO FIRMS PRIVACY POLICY

From time to time firms may update their privacy policies. All new clients will receive the firms' most current privacy policy upon entering into an agreement or opening an account.

MAINTAINING THE ACCURACY OF CLIENT INFORMATION

Keeping client account information accurate and up-to-date is very important to us. If you ever find that your account information is incomplete, inaccurate or not current, please contact us via the address, phone number or website listed on page 3. We will correct any inaccurate or outdated information as soon as possible.

According to the USA PATRIOT ACT (Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act of 2001) we must verify the identity of every customer opening an account with Lion Street Financial, LLC Therefore, you will be asked to furnish documents suitable for verification. These include: unexpired government-issued ID bearing a photograph for an individual; or registered articles of incorporation, government-issued business license, a partnership agreement or a trust instrument for a corporation or trust. We may also use third-party sources such as government lists or consumer reporting agencies to verify identity.

MUTUAL FUND INFORMATION

If you are investing in Investment Company Securities (Mutual Funds) you need to be aware that we may, from time to time, receive compensation from the company in addition to those fees listed in the prospectus. You should also be aware of breakpoint discounts that can be available when you invest more than \$25,000.00 with a mutual fund family. Lion Street Financial relies on the mutual fund companies to track breakpoint discounts on accounts held directly at their firms.

CLIENT ACCOUNT INFORMATION

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CLIENT ACCOUNT INFORMATION *Continued*

BUSINESS CONTINUITY STATEMENT

Lion Street Financial is responsible for creating and maintaining business continuity plans for all of its businesses. In the event of a business disruption, we have plans designed to allow us to continue operations of critical business functions. As part of our plans, we have identified the applications that are critical to each of our departments. As an introducing broker-dealer, it is important to realize that we do not hold any customer funds. In the event of a major disruption, customers still will have full access to their accounts by contacting the mutual fund companies, insurance carriers or clearing firm directly. This structure is recognized worldwide as providing investors with an unsurpassed level of liquidity and security for our customers' assets. Although we believe we have a sound business recovery plan, we cannot guarantee that systems will always be available or recoverable after a disaster or significant business disruption. However, we believe that our planning for such events is robust and consistent with many of the best practices established within the industry. Any material changes to the above information will be available upon request.

AGREEMENT TO ARBITRATE CONTROVERSIES

This agreement contains a predispute arbitration clause. By signing an arbitration agreement, the parties agree as follows:

1. All parties to this agreement are giving up the right to sue each other in court, including the right to a trial by jury, except as provided by the rules of the arbitration forum in which a claim is filed.
2. Arbitration awards are generally final and binding; a party's ability to have a court reverse or modify an arbitration award is very limited.
3. The ability of the parties to obtain documents, witness statements and other discovery is generally more limited in arbitration than in court proceedings.
4. The arbitrators do not have to explain the reason(s) for their award unless, in an eligible case, a joint request for an explained decision has been submitted by all parties to the panel at least 20 days prior to the first scheduled hearing date.
5. The panel of arbitrators may include a minority of arbitrators who were or are affiliated with the securities industry.
6. The rules of some arbitration forums may impose me limits for bringing a claim in arbitration. In some cases, a claim that is ineligible for arbitration may be brought in court.
7. The rules of the arbitration forum in which the claim is filed, and any amendments thereto, shall be incorporated into this agreement.

MISCELLANEOUS

In accordance with the USA PATRIOT ACT, Lion Street Financial, LLC must verify your identity.

SIPC

You may obtain information about the Securities Investor Protection Corporation (SIPC), including their brochure, at www.sipc.org or by calling (202) 371-8300.

FINRA

You may obtain information about your financial professional at www.brokercheck.finra.org or by calling (800) 289-9999.

For questions or complaints, contact us at 515 Congress Ave., Suite 2500, Austin, TX 78701 or email lsfcompliance@lionstreet.com