WHAT DOES PREVAIL INNOVATIVE WEALTH ADVISORS, LLC (“PREVAIL IWA”) AND ITS AFFILIATES PREVAIL STRATEGIES, LLC AND PREVAIL ALTERNATIVE ASSETS, LLC (collectively, the “Firm”) DO WITH YOUR PERSONAL INFORMATION?

**FACTS**

|  |  |
| --- | --- |
| **Why?** | Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing, and the right to limit some but not all marketing from the Firm and its affiliates. Federal law also requires us to tell you how we collect, share, and protect your personal information, as well as to tell you about your choice to limit marketing from the Firm and its affiliates. Please read this notice carefully to understand what we do. |
| **What?** | The types of personal information the Firm collects and shares for everyday business purposes and for marketing purposes depends on the product or service you have or for which you are applying. This information may include:* Name, Social Security number and income.
* Account balances and payment history.
* Credit history and credit scores.
 |
| **How?** | All financial companies need to share customers’ personal information to run their everyday business. In the section below, we list the reasons the Firm can share its customers’ personal information; the reasons the Firm chooses to share; and whether you can limit this sharing. |

|  |  |  |
| --- | --- | --- |
| **Reasons we can share your personal information** | **Do affiliates** **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 | NO |
| **For our marketing purposes—**to offer our products and services to you | YES | YES |
| **For joint marketing with other financial companies** | NO | N/A |
| **For our affiliates’ everyday business purposes—**information about your transactions and experiences | YES | NO |
| **For our affiliates’ everyday business purposes—**information about your creditworthiness | YES | NO |
| **For our affiliates to market to you** | YES | YES |
| **For nonaffiliates to market to you** | NO | N/A |

|  |  |
| --- | --- |
| **To limit****our sharing or marketing to you** | * Phone: ●913-295-9500
* Email: ● (Email Subject Line: “Privacy Notice”) Compliance@prevailiws.com
* Mail (or Email): the **form** below.

**Please note:**If you are a *new* customer, we can begin sharing your information thirty (30) days from the date we sent this notice. When you are *no longer* our customer, we continue to share your information as described in this notice. You can contact us at any time to limit our sharing. Your choice to limit marketing efforts will apply until you tell us to change your choice. |
| **Questions?** | Please call ● or contact your investment advisor representative |



|  |
| --- |
| **Mail-in Form** |
| If you have a joint account, your choice(s) will apply to everyone on your account unless you mark below.* Apply my choices only to me.
* Apply my choices only to my joint account holder
 | Mark any/all you want to limit:* Do not use my personal information to market to me.
* Do not allow any of your affiliates to use my personal information to market to me.
 |
| **Name** |  | **Mail to:**● Prevail InnovativeWealth Advisors, LLC4745 W. 136th St.Leawood, Ks 66224 |
| **Address** |  |
|  |  |
| **City, State, Zip** |  |
| **Acct. Numbers** |  |

**Page 2**

|  |
| --- |
| **Who we are** |
| **Who is providing this notice?** | Prevail Innovative Wealth Advisors, LLC, and its Affiliates (defined below) |
| **What we do** |
| **How does Prevail IWA and its affiliates 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 Prevail IWA and its affiliates collect my personal information?** | We collect your personal information, for example, when you* open an account or apply for an insurance policy.
* make statements or provide documentation during consultations or other meetings and interactions during the relationship.
 |
| **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. See below for more on your rights under state law. |
| **What happens when I limit sharing for an account, I hold jointly with someone else?** | Your choices will apply to everyone on your account—unless you tell us otherwise. |
| **Affiliates’ Marketing** |
| **How can I limit the Firm’s Affiliates’ marketing to me?** | You can limit the Affiliates’ ability to market products and services to you based on your personal information (such as your income or account history) that they receive from us or other Affiliates by returning the form on the first page of this notice. |
| **How long does my election to limit Affiliates’ marketing remain in effect?** | Your election to limit marketing to you by our Affiliates will continue indefinitely, until you notify us to change your election. |

|  |
| --- |
| **Definitions** |
| **Affiliates** | Companies related by common ownership or control. They can be financial and nonfinancial companies. |
| ● Prevail Strategies LLC● Prevail Alternative Assets, LLC |
| **Nonaffiliates** | Companies not related by common ownership or control. They can be financial and nonfinancial companies. |
| **Joint marketing** | A formal agreement between nonaffiliated financial companies that together market financial products or services to you. |

**Page 3**

|  |
| --- |
| **Other important information** |
| * Regulation S-AM allows a consumer, in certain limited situations, to block affiliates of investment advisers from soliciting the consumer based on eligibility information (i.e., certain financial information, such as information regarding the consumer's transactions or experiences with the covered person) received from the covered person. Unlike Regulation S-P, which implements the financial privacy provisions of the Gramm-Leach-Bliley Act, Regulation S-AM does not limit a covered person's ability to share information. Instead, it limits a covered person's ability to use eligibility information received from an affiliate to solicit a consumer for marketing purposes. This notice is being provided to you fulfill our requirements pursuant to Regulations S-P and S-AM.
* **For Vermont residents:** In accordance with Vermont law, we will not share information we collect about you with companies outside of our corporate family, except as permitted by law, including, for example with your consent or to service your account. We will not share information about your creditworthiness within our corporate family except with your authorization or consent, but we may share information about our transactions or experiences with you within our corporate family without your consent.
* **For Nevada residents:** We may contact our existing customers by telephone to offer additional financial products that we believe may be of interest to you. You have the right to opt out of these calls by adding your name to our internal do-not-call list. To opt out of these calls, or for more information about your opt out rights, please contact your advisory team or you can reach us by calling 913-295-9500 ●, by emailing Compliance@previaliws.com ● or writing to Prevail Innovative Wealth Advisors ●. You are being provided this notice under Nevada state law. In addition to contacting U.S. Bank, Nevada residents can contact the Nevada Attorney General for more information about your opt out rights by calling 702.486.3132, emailing aginfo@ag.nv.gov, or by writing to: Office of the Attorney General, Nevada Department of Justice, Bureau of Consumer Protection 100 North Carson Street, Carson City, NV 89701-4717.
* **For Insurance Customers in AZ, CA, CT, GA, IL, ME, MA, MN, MT, NV, NJ, NC, OH, OR and VA** only**.** The term “Information” in this part means customer information obtained in an insurance transaction. We may give your Information to state insurance officials, law enforcement, group policy holders about claims experience or auditors as the law allows or requires. We may give your Information to insurance support companies that may keep it or give it to others. We may share medical Information so we can learn if you qualify for coverage, process claims or prevent fraud or if you say we can.
* **For California residents:** **You have the right to control whether we share some of your personal information. Please read the following information carefully before you make your choices below.**

**Your Rights**You have the following rights to restrict the sharing of personal and financial information with our affiliates (companies we own or control) and outside companies that we do business with. Nothing in this form prohibits the sharing of information necessary for us to follow the law, as permitted by law, or to give you the best service on your accounts with us. This includes sending you information about some other products or services.**Your Choices****Restrict Information Sharing with Companies We Own or Control (Affiliates):** Unless you say "No," we may share personal and financial information about you with our affiliated companies.(\_) NO, please do not share personal and financial information with your affiliated companies.**Restrict Information Sharing with Other Companies We Do Business with To Provide Financial Products And Services:** Unless you say "No," we may share personal and financial information about you with outside companies we contract with to provide financial products and services to you.(\_) NO, please do not share personal and financial information with outside companies you contract with to provide financial products and services.**Time Sensitive Reply**You may make your privacy choice(s) at any time. Your choice(s) marked here will remain unless you state otherwise. However, if we do not hear from you, we may share some of your information with affiliated companies and other companies with whom we have contracts to provide products and services.Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Account or Policy Number(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ To exercise your choices please do the following:Fill out, sign, and send back this form to us (you may want to make a copy for yourself. |