

FORMER CLIENTS

If you close an account with QA³, we will continue to operate in accordance with the principles stated in this Notice.

REQUIREMENTS OF FEDERAL LAW

In November 1999, Congress enacted the Gramm-Leach-Bliley Act (GLBA). GLBA requires financial institutions, including broker-dealers, investment advisers and investment companies to adopt policies and procedures designed to protect the privacy of Customer Information. To the extent a financial institution discloses Customer Information to nonaffiliated third parties other than as permitted or required by law, customer must be given the opportunity and means to opt out (or prevent) such disclosures. If you do not wish your representative to take your data if he/she should sell his/her securities business to an unaffiliated representative or transfer her/his securities registration to another firm, you have the right to opt out of such disclosures. If you wish to prevent sharing of your Customer Information, please call QA³ at 866-349-5587.

REQUIREMENTS OF STATE LAW

If you live in a state which requires a financial institution to obtain your affirmative consent to authorize sharing your Customer Information, QA³ will seek your written instruction to authorize disclosure of your confidential Customer Information before that data is shared.

ATTENTION INVESTMENT ADVISORY CLIENTS OF QA³ FINANCIAL, LLC.

If you would like an updated copy of QA³ Financial, LLC's Form ADV Part II, please send a written request to:

**QA³ Financial, LLC.
Attn: ADV Annual Offer
One Valmont Plaza – 4th Floor
PO Box 542055
Omaha, NE 68154**



One Valmont Plaza, 4th Floor

PO Box 542055

Omaha, NE 68154

QA³ Financial Corp.
QA³ Financial, LLC
Quantum Insurance Design, LLC

PRIVACY POLICY



QA³ Financial LLC
A SEC Registered Investment Advisor

 **Quantum
Insurance Design, LLC**

This Privacy Notice is from QA³ Financial Corp., QA³ Financial, LLC and Quantum Insurance Design, LLC. QA³ Financial Corp. is a broker dealer and an insurance agency and is in the business of providing brokerage services and insurance products to customers. QA³ Financial, LLC is an investment advisor and is in the business of providing financial planning and investment advisory services to customers. Quantum Insurance Design is an insurance brokerage. In this notice, we may be collectively referred to as QA³, QA³ Financial Companies, “we” or “us”.

While each of QA³ Financial Companies operates as a separate company, we share personnel and facilities to provide coordinated administrative and support services for clients. QA³ is committed to safeguarding your confidential information. Except as is described in this Notice and as may be required or permitted by law, the QA³ Financial Companies do not share your Customer Information with nonaffiliated third parties.

CUSTOMER INFORMATION WE COLLECT.

While providing services to you, QA³ collects personal information about you to conduct our business and comply with laws. The term “Customer Information” means any type of personal identifiable information provided by you or gathered about you that is not generally publicly known. The essential purpose for collecting Customer Information is to provide and support the financial products and services you obtain from QA³. The categories of Customer Information collected by our companies vary for different products and services and may include:

- Information QA³ receives from you on applications or other forms and may specifically include your name, address, Social Security number, income, assets and liabilities, investments, insurance, financial objectives, risk tolerance, and the names of beneficiaries.

- Information we receive or obtain from companies whose products and services are purchased or serviced through us.
- For products involving the extension of credit, information about your creditworthiness and credit history that we may obtain from unaffiliated consumer reporting agencies.
- Information about your financial products and services transactions with QA³.
- If you apply for insurance products through our company, we may collect health information.
- Information you may provide to us, such as estate planning documents, tax returns or indebtedness.
- Information developed as part of the financial plans, analyses or investment advisory services.

DATA SAFEGUARDS

QA³ restricts access to Customer Information to our Representatives, and employees who need the information to perform their job responsibilities. QA³ maintains agreements, as well as physical, electronic and procedural security measures that comply with federal regulations to safeguard your Customer Information.

USE AND DISCLOSURE OF CUSTOMER INFORMATION TO PROVIDE CUSTOMER SERVICE FOR YOUR ACCOUNTS

To administer, manage and service customer accounts, process transactions and provide related services for your accounts, it is necessary for us to provide access to Customer Information within our Companies and to certain nonaffiliated companies. Such nonaffiliated companies may include companies whose products and services are offered through QA³ and companies who perform support services for QA³. For example, our clearing firm prepares periodic

statements of account, and it is necessary to provide the clearing firm with information about your securities transactions so that statements of account that accurately reflect your securities transactions can be prepared. QA³ may share Customer Information with companies related under common ownership in order to remain in compliance with securities regulations (i.e. The Patriot Act) and in conjunction with internal audits conducted in the normal course of business. Further, we may provide Customer Information of our Company as permitted by law, such as to government entities, consumer reporting agencies or other third parties in response to subpoenas.

DISCLOSURE OF YOUR CUSTOMER INFORMATION

- QA³ recognizes the right of each customer to select a representative (or Advisor) to provide brokerage, investment advisory and insurance products and services. In Connection with the transfer of your representative's securities or advisory registration to another firm, your Customer Information may be shared with your representative and his (or her) new firm. The information to be shared may include your confidential information in the custody of your representative as well as other information necessary to transfer your account including, but not limited to, your address, telephone number, email address, account number, and type, and transaction and tax reporting information.
- In addition, in the event your representative (or his/her estate) agrees with an unaffiliated representative to sell all or some portion of his/her securities, advisory or insurance business, your confidential Customer Information may be shared with the acquiring representative and his/her firm.

You may prevent any disclosure of your confidential Customer Information by instructing the QA³ Companies and our representative to not provide your information in these instances by informing QA³ directly of your decision in writing at the address listed below or by calling QA³ at 866-349-5587. You may prevent this disclosure now or any later time. In addition, you may call this same number to revoke or withdraw your instruction to not share your information in these instances.

QA³ Financial Corp.
Attn: Customer Privacy
One Valmont Plaza – 4th Floor
PO Box 542055
Omaha, NE 68154

USE AND DISCLOSURE OF HEALTH INFORMATION

To the extent you provide health information to QA³ for the purpose of making application for insurance products, such information will not be disclosed to nonaffiliated companies for any purpose, except:

- To underwrite or administer your insurance policy or related claims;
- As permitted by law; or
- As authorized by you

ACCESS TO INFORMATION

If required by state law in connection with an insurance transaction, you may be able to request in writing access to your information. We may charge a reasonable fee to cover our costs in this process.