



**Main Street Investments**  
**Registered Investment Advisor**  
*Wealth Management for Main Street*  
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phone: 913.802.401k

## Privacy Policy

An important part of the relationship we have with our clients and potential clients is the information you share with us. We want you to know how we treat your private information.

As you will read, we keep personal information such as your Social Security Number and account balances confidential. We take steps to safeguard this data from anyone who should not have access to it. We do not sell this information to anyone. We store highly sensitive information such as Social Security numbers and birthdays in hard copy in locked storage in our office, and/or online in our secure online client vault which is 256-bit encrypted. **As a reminder please never send us this information by email, text message or fax as these may not be secure, unless you have taken steps to omit the information such as covering it or blacking it out.**

In your dealings with Main Street Investments, you can expect that we will take the steps outlined below to keep the information we have about our customers confidential and secure.

### Our Privacy Policy

In providing financial services and products to you, we collect certain nonpublic information about you. Our policy is to keep this information confidential and strictly safeguarded, and to use or disclose it only as needed to provide services to you, or as permitted by law. Protecting your privacy is important to us.

### Information We Collect

The nonpublic personal information we have about you includes what you give us when you open an account or communicate with us. This may include:

- Your name and address
- Social Security Number
- Investment objectives and experience
- Financial circumstances

- Employment
- Account balance and account transactions

### **Information We Disclose**

We disclose nonpublic personal information about you to third parties that we hire to help us provide products and services to you, or as permitted by law or authorized by you. We do not sell your personal information to anyone.

### **How Information Is Used**

We use information about you to provide our asset management services to you, such as managing your investment account(s). We may disclose this information to third parties as permitted by law, including the outside broker-dealers, custodians, administrators, transfer agents, accountants, or attorneys that we need to use to provide our services to you. From time to time, we must give information about our business to regulatory authorities. This may include personal information about you.

We do not sell personal non-public information about our clients or potential Clients to anyone.

### **How Information Is Safeguarded**

We have procedures in place that we believe are reasonably designed to protect the security and confidentiality of your information. These include confidentiality agreements with companies we hire to help provide services to you, password-protected user access to our computer files and strict confidentiality policies that apply to all Main Street Investments personnel.

### **Opt-Out Provision**

Pursuant to the privacy policy, if at any time a client does not wish to have any of his/her NPI (non-public information) disclosed to a third party, the client can telephone our Chief Compliance Officer at **913-802-4015** to notify him or her of such decision. The CCO shall keep a list of any Client who opts out of disclosure and will consult such list prior to disseminating any client NPI to a third party.

### **How Information Is Stored**

Regulations require us to archive our interactions with clients when delivering financial or investment advice. This includes emails, text messages and other messages sent to both Main Street employees' personal and business accounts.