FACTS

WHAT DOES MAINSTREET RIA LLC DO WITH CUSTOMER INFORMATION?

Why?	Financial companies choose how they share your Customer 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 Customer Information. Please read this notice carefully to understand what we do.
What?	The types of Customer Information we collect and share depend on the product or service you have with us. This information can include: • Social Security number, income, assets and other financial information • Account balances, holdings and transaction history • Investment objectives, financial goals and risk tolerance When you are no longer our customer, we continue to share your information as described in this notice.
How?	All financial companies need to share Customer Information to run their everyday business. In the section below, we list the reasons financial companies can share Customer Information; the reasons we choose to share; and whether you can limit this sharing.

Reasons we can share your Customer Information	Do we share?	Can you limit this sharing?
For our everyday business purposes (Regulation S-P §248.14-248.15) **-** 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 – third party must be bound by confidentiality restrictions per Regulations S-P §248.13.	No	NA
For our affiliates' everyday business purposes— information about your transactions and experiences	No	NA
For our affiliates' everyday business purposes— information about your creditworthiness	No	NA
For our affiliates to market to you	No	NA
For non-affiliates to market to you	No	NA
For buying, selling, or sharing of client data gathered for text messaging. (Mobile opt-in data will not be shared with third parties.)	No	NA

To limit our sharing	If an opt out applies: Call 888-801-0325, email info@mainstreet-ria.com or mail the form below. **Please note:** If you are a new customer, we can begin sharing your information 30 days after we provide this notice, unless otherwise permitted by law. However, you can contact us at any time to limit our sharing.

Questions?	Call 888-801-0325

Who we are	
Who is providing this notice?	Mainstreet RIA LLC
What we do	
How do we protect your Customer 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. We also maintain written policies and procedures reasonably designed to safeguard customer information as well as procedures to detect, respond and recover from unauthorized access to customer information. Policies and procedures are in place to oversee service providers who have access to or maintain personal information.
How do we collect your Customer Information?	We collect your Customer Information, for example, when you: • Open an account or enter into an investment advisory relationship • Complete forms or documents stating your investment objectives, financial circumstances, or risk tolerance • Give us your contact information or instructions related to your account We also collect your personal information from others, such as custodians, affiliates, or their companies.
Why can't you 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 State laws and individual companies may give you additional rights to limit sharing.
What happens when you limit sharing for an account you hold jointly?	Your choices will apply to everyone on your account—unless you tell us otherwise. We will process your opt-out request as soon as reasonably practicable after we receive it. Your opt-out election will remain effective until you revoke it.
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 nonfinancial companies.
Joint marketing	A formal agreement between non-affiliated financial companies that together market financial products or services to you.

Mail-in Form

If you have a joint account, your choice(s) will apply to everyone on your account unless you mark below.

☐ **Apply only to me**

Mark any you want to limit:

☐ Do not use my Customer Information to market to me.

Name	
Address	
City, State, Zip	
Account #	

Mail to:
Mainstreet RIA LLC
6700 Keaton Corporate Parkway
Suite 102
O'Fallon, MO 63368