REGIONAL SERVICES COMPANY DBA COMPASS FINANCIAL GROUP

PRIVACY NOTICE REGARDING CLIENT PRIVACY AS REQUIRED BY REGULATION S-P & REGULATION S-AM

Maintaining the trust and confidence of our clients is a high priority. That is why we want you to understand how we protect your privacy when we collect and use information about you, and the steps that we take to safeguard that information. This notice is provided to you on behalf of Regional Services Company dba Compass Financial Group.

Information We Collect

In connection with providing investment products, financial advice, or other services, we obtain non-public personal information about you, including:

- Information we receive from you on account applications, such as your address, date of birth, Social Security Number, occupation, financial goals, assets and income;
- Information about your transactions with us, our affiliates, or others; and
- Information received from credit or service bureaus or other third parties, such as your credit history or employment status.

Categories of Information We Disclose

We may only disclose information that we collect in accordance with this policy. Compass Financial Group does not sell customer lists and will not sell your name to telemarketers.

Categories of Parties to Whom We Disclose

We will not disclose information regarding you or your account with us, except under the following circumstances:

- To our staff and your authorized Registered Representative and his or her manager;
- To our parent companies or their affiliates, to the extent permitted by law;
- To entities that perform services for us or function on our behalf, including financial service providers, such as a clearing broker-dealer, investment company, or insurance company;
- To service providers that support our operations, including technology, data processing, and administrative functions;
- To consumer reporting agencies;
- To your attorney, trustee or anyone else who represents you in a fiduciary capacity;
- To our attorneys, accountants or auditors; and
- To government entities or other third parties in response to subpoenas or other legal process as required by law or to comply with regulatory inquiries.

How We Use Information

Information may be used among companies that perform support services for us, such as data processors, technical systems consultants and programmers, or companies that help us market products and services to you for a number of purposes, such as:

- To protect your accounts from unauthorized access or identity theft;
- To process your requests such as securities purchases and sales;
- To establish or maintain an account with an unaffiliated third party, such as a clearing broker-dealer providing services to you and/or Compass Financial Group;
- To service your accounts, such as by issuing checks and account statements;
- To comply with Federal, State, and Self-Regulatory Organization requirements; and
- To keep you informed about financial services of interest to you.

Regulation S-AM

Under Regulation S-AM, a registered investment adviser is prohibited from using eligibility information that it receives from an affiliate to make a marketing solicitation unless: (1) the potential marketing use of that information has been clearly, conspicuously and concisely disclosed to the consumer; (2) the consumer has been provided a reasonable opportunity and a simple method to opt out of receiving the marketing solicitations; and (3) the consumer has not opted out. Compass Financial Group does not receive information regarding marketing eligibility from affiliates to make solicitations.

Technology and Service Providers

We may utilize third-party technology platforms, automated processing tools, and service providers in connection with delivering our services and operating our business. These providers and tools may have access to client information only to the extent necessary to perform their functions on our behalf and are required to maintain appropriate confidentiality. We do not authorize these providers to use or disclose client information for any purpose other than as needed to support our services or as required by law.

Our Security Policy

We restrict access to nonpublic personal information about you to those individuals who need to know that information to provide products or services to you and perform their respective duties. We maintain physical, electronic, and procedural security measures to safeguard confidential client information.

Security Incident Notification

In the event of a security incident involving your nonpublic personal information, we will notify you as required by applicable law, including Regulation S-P as amended. We maintain procedures designed to identify and respond to security incidents in a timely manner.

Retention of Information

We retain client information for as long as necessary to fulfill the purposes for which it was collected, to provide ongoing services, and to comply with applicable legal, regulatory, and recordkeeping requirements.

Closed or Inactive Accounts

If you decide to close your account(s) or become an inactive customer, our Privacy Policy will continue to apply to you.

State Privacy Rights

Residents of certain states may have additional rights regarding their personal information under applicable state law. If you believe you may have rights under the law of your state of residence, please contact us using the information below and we will respond as required by applicable law.

Complaint Notification

Please direct complaints to: John Haller, Chief Compliance Officer, Regional Services Company dba Compass Financial Group, 4300 South Louise Ave., Suite 300, Sioux Falls, SD 57106; Phone: 605-338-7150.

Changes to This Privacy Policy

If we make any substantial changes in the way we use or disseminate confidential information, we will notify you. If you have any questions concerning this Privacy Policy, please contact us at: Regional Services Company dba Compass Financial Group, 4300 South Louise Ave., Suite 300, Sioux Falls, SD 57106; Phone: 605-338-7150.