

Privacy Policy

Privacy Policy & SMS Texting Policy

Financial companies choose how they share your personal 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 personal information. All financial companies need to share clients' personal information to run their everyday business. Synergy Capital of Colorado LLC ("Synergy Capital") is providing this notice. In the section below, Synergy Capital will list the reasons financial companies can share their clients' personal information, the reasons Synergy Capital chooses to share, and whether you can limit this sharing. Please read this notice carefully to understand our policy. The following document outlines what Synergy Capital does with your personal information. The types of personal information we collect and share depend on the product or service you have with us. This information can include, but is not limited to:

- Social Security number and income;
- Assets and transaction history; and
- Investment experience and risk tolerance.

If you are a new client, we can begin sharing your information from the date we establish your account. When you are no longer our client, we continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing by calling our main office at 970-837-3088.

Reasons We Can Share Your Personal Information	Do We 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 & services to you	YES	YES
For joint marketing with other financial companies	NO	We don't share
For our affiliates' everyday business purposes Information about your transactions and experiences	YES	YES
For our affiliates to market to you	NO	We don't share
For non-affiliates to market to you	NO	We don't share

- Synergy Capital has the following Affiliated Entities related by common ownership or control: Synergy Insurance Services LLC.
- Non-Affiliated Entities are entities not related by common ownership or control. They can be financial and non-financial companies. Synergy Capital has the following data sharing arrangements with such entities: None.
- Synergy Capital has the following Joint Marketing Relationships where a formal agreement is in place with nonaffiliated financial companies that together market financial products or services to you: None.

Frequently Asked Questions

How Does Synergy Capital Protect My Information?

To protect your personal information from unauthorized access and use, we restrict access to those who need it to service your account, including employees and service providers, who are required to maintain its confidentiality. We also maintain physical, electronic, and procedural safeguards that comply with applicable federal and state standards.

How Does Synergy Capital Collect My Personal Information?

We collect your personal information, for example, when you: open an account or give us contact information; enter into an investment adviser contract or give us your income information; tell us about your investment or retirement portfolio.

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 non-affiliates to market to you. State laws and individual companies may give you additional rights to limit sharing.

Other Important Information

By signing Synergy Capital's Agreement, I acknowledge that I have fully read and understand this Privacy Policy. I understand I may limit certain sharing as described above by contacting Synergy Capital at any time.

SMS Texting Policy

Effective Date: March 4, 2026

Synergy Capital of Colorado LLC is committed to protecting your privacy. This SMS Privacy Policy explains how we collect, use, disclose, and safeguard your information when you opt in to receive SMS messages from us.

Information We Collect

- When you opt in to our SMS program, we collect information necessary to deliver SMS communications and respond to your inquiries.

How We Use Your Information

We use the information we collect to:

- Send you SMS messages related to our services, events, and updates.
- Respond to your inquiries and provide customer support.

Data Sharing

We do not sell or rent your personal information to third parties. However, we may share your information with trusted service providers, such as SMS delivery platforms.

Opt-Out of SMS Communication

You can opt out of receiving SMS messages at any time by texting "STOP" to (970) 837-3088. After opting out, you will no longer receive SMS messages, except for transactional messages related to your account, such as account alerts, document delivery notifications, and appointment confirmations. Message frequency varies.

Data Security

For information about our data security practices, please see the How Does Synergy Capital Protect My Information section of this notice.