



Privacy Policy

Capital Investment Group, Inc., Capital Investment Brokerage, Inc., Capital Investment Counsel, Inc., CIC Advisers, LLC and Capital Investment Advisory Services, LLC

As a valued customer, the privacy of the information with which you provide us, to assist you in reaching your financial goals, is of utmost importance. Therefore, we offer the following Privacy Policy for Capital Investment Group, Inc., Capital Investment Brokerage, Inc., Capital Investment Counsel, Inc., CIC Advisers, LLC, Capital Investment Advisory Services, LLC and their affiliates (collectively known as “Capital Investment Companies”). Capital Investment Group, Inc. and Capital Investment Brokerage, Inc. are “introducing” broker/dealers. Capital Investment Counsel, Inc., CIC Advisers, LLC and Capital Investment Advisory Services, LLC are registered investment advisory firms.

PLEASE NOTE: CAPITAL INVESTMENT GROUP, INC., CAPITAL INVESTMENT BROKERAGE, INC., CAPITAL INVESTMENT COUNSEL, INC., CIC ADVISERS, LLC AND CAPITAL INVESTMENT ADVISORY SERVICES, LLC AND THEIR AFFILIATES DO NOT SELL YOUR NON-PUBLIC PERSONAL INFORMATION.

We collect your non-public personal information from the following sources:

- Information we receive from you on applications and other forms;
- Information we receive from you in writing, in person, by telephone, electronically, or by any other means;
- Information about your transactions with Capital Investment Group, Inc. or Capital Investment Brokerage, Inc., our affiliates, financial institutions or others, and;
- Information we receive from the Internal Revenue Service, consumer-reporting agency, or other such entity.

We disclose your non-public personal information to affiliates and non-affiliated third parties:

Capital Investment Group, Inc., Capital Investment Brokerage, Inc., Capital Investment Counsel, Inc., CIC Advisers, LLC and Capital Investment Advisory Services, LLC disclose to affiliates and non-affiliated third parties, non-public personal information only in connection with our servicing of, or conducting business on behalf of, your account. Such disclosures may be provided to affiliates and non-affiliated third parties (i) as required or necessary to carry out fully and properly the securities business conducted by Capital Investment Group, Inc., Capital Investment Brokerage, Inc., Capital Investment Counsel, Inc., CIC Advisers, LLC and Capital Investment Advisory Services, LLC;(ii) as required by law or legal process, or; (iii) with your consent. We may disclose non-public personal information about you in connection with the transfer of your account to another financial institution at your request or the request of your representative. If you elect to “opt-out” and do not want us to disclose your non-public personal information with your representative’s new financial institution, please contact us at: **17 Glenwood Ave., Raleigh NC 27603, Ph: (919) 831-2370 or by email: rking@capitalinvest.com**

We may disclose all of the information we collect, as described above.

Former Customers:

We do not disclose any non-public personal information about our customers or former customers to anyone, except as permitted by law or legal process, or with your consent.

Confidentiality and security of non-public personal information:

We restrict access to non-public personal information about you to those employees that need to know that information to provide products or services to you. We maintain physical, electronic and procedural safeguards to guard your non-public personal information.

Capital Investment Group, Inc., Capital Investment Brokerage, Inc., Capital Investment Counsel, Inc., CIC Advisers, LLC and Capital Investment Advisory Services, LLC reserve the right to change this Privacy Policy at any time.

Revised 12/2010



Marketing Fee Disclaimer:

Capital Investment Companies accepts annual marketing fees from some of its product vendors to pay for general marketing expenses, which the firm incurs during the year. These fees are in no way an enticement for Capital or its investment brokers to specifically promote such vendors or their products. As such, Capital does not sponsor any sales contests or offer any preferential commission sharing with its investment brokers in relation to such vendors.

The vendors who participate are: Ash Brokerage, One America, Prudential, Allianz, MetLife, Pacific Life, Jackson National, Securian Financial, Lincoln Financial Group, AXA Equitable, Coventry First, Life Insurance Settlements, The Hartford, Principal Funds, American Funds, Dividend Capital, COLE Real Estate Investments, Healthcare Trust of America, CNL, American Realty Capital, Steadfast, Cypress, Ridgewood Securities, Franklin Square Capital Partners, DT Group, Resource Financial Services.