Capital Investment Companies ("Capital") rev. 11/16

FACTS	WHAT DOES CAPITAL DO WITH YOUR PERSONAL INFORMATION?
Why?	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. Please read this notice carefully to understand what we do.
What?	The types of personal information we collect and share depend on the product or service you have with us. This information can include: • Social Security number and assets • Account balances and transaction history • Checking account information and wire transfer instructions
How?	All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons Capital chooses to share; and whether you can limit this sharing.

Reasons we can share your information	Does Capital 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 and services to you	Yes	No
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	No
For our affiliates' everyday business purposes – information about your creditworthiness	Yes	Yes
For our affiliates to market to you	Yes	Yes
For nonaffiliates to market to you	No	We don't share
For nonaffiliates to facilitate the transfer of your account to your new financial services company	Yes	Yes

To limit our sharing	• Call (919) 831-2370 or • Email cic-compliance@capital-invest.com Please provide your name, address, phone number and account number if known. **Please note:** If you are a *new* customer, we can begin sharing your information 30 days from the date we sent this notice. When you are *no longer* our customer, we continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing.

Questions?	Call (919) 831-2370 or go to www.capital-invest.com

Who we are	
Who is providing this notice?	Capital Investment Group, Inc. Capital Investment Brokerage, Inc. Capital Investment Counsel, Inc. Capital Investment Advisory Services, LLC

What we do	
How often does Capital protect my personal 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.
How does Capital collect my personal information?	We collect your personal information, for example, when you • Open an account or seek advice about your investments • Make a wire transfer or show your government-issued ID • Enter into an investment advisory contract
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 nonaffiliates to market to you State laws and individual companies may give you additional rights to limit sharing.
What happens when I limit sharing for an account I hold jointly with someone else?	Your choices will apply to everyone on your account.

Definitions	
Affiliates	Companies related by common ownership or control. They can be financial and nonfinancial companies. • *Our affiliates include companies under common ownership and they are identified the section titled "Who we are" at the top of this page.*
Nonaffiliates	Companies not related by common ownership or control. They can be financial and nonfinancial companies. • *Capital will share with other financial institutions only in the event a customer's financial adviser is facilitating a transfer of your account to another broker dealer. This is generally done as a service to you; however, you may limit this sharing by completing and opting out.*
Joint marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. • *Capital doesn't jointly market.*