

Privacy Policy

Optima Capital Management LLC

222 S Mill Ave Ste 800

Tempe, AZ 85281

480-757-9052

info@optimacapitalmgt.com

<https://www.optimacapitalmgt.com>

Federal and state law requires that Investment Advisers inform their clients of their policies regarding the privacy of client information. Optima Capital Management LLC's professional standards of confidentiality are more stringent than those required by law. Federal law gives you the right to limit some but not all sharing of your personal information. It also requires us to tell you how we collect, share, and protect your personal information.

Please reach out to us if you have any questions. Your privacy, our professional ethics, and the ability to provide you with insightful financial advice and guidance are very important to us.

About Us

We are a Registered Investment Advisor in the states of Arizona, California, Illinois, Kentucky, Louisiana, Minnesota, North Carolina, Ohio, and Texas. Registration as an investment adviser does not imply a certain level of skill or training. An investment adviser's oral and written communications provide information from which you determine to hire or retain an investment adviser.

Additional information about us is available on the SEC's website at www.adviserinfo.sec.gov. Optima Capital Management LLC's CRD number is 306036.

The SEC's website also provides information about any persons affiliated with Optima Capital Management who are registered or are required to be registered as investment adviser representatives of Optima Capital Management.

Why We Collect Information

We collect and use information about you to provide you with our financial planning and investment management services. For example, we use your information to determine the suitability of our investment recommendations and process transactions for your account.

What Type of Nonpublic Information We Collect

The nonpublic information we collect may include your date of birth, social security number, assets, income, net worth, investment experience, risk tolerance, investment objective, beneficiary designations, and other information from your application.

How We Collect Information

We obtain most information directly from you when you open an account with a custodian. For example, we may collect your personal information directly when you seek financial advice, provide employment information, or show us your government-issued ID.

In addition, we may also obtain information about you from our associates and third parties, such as retirement plan sponsors or third-party administrators, mutual fund companies, insurance companies, your former custodian or broker-dealer, or others who provide you with financial products or services.

Information We Share

We may need to share your personal information during our business. In the section below, we list the reasons that we may share your personal information:

- For everyday business purposes - such as processing your transactions, maintaining your account(s), responding to court orders and legal inquiries, or reporting to credit bureaus
- For our marketing, when offering services to you
- For joint marketing with other financial companies
- For our affiliates' everyday business purposes – information about your transactions and experiences and information about your creditworthiness

Furthermore, as described above, we may disclose information about you to our associates, affiliates, their affiliated businesses, and non-affiliated third parties who provide you with financial products and services. These non-affiliated third parties may

include retirement plan sponsors or third-party administrators, custodians, broker-dealers, and other clearing firms.

We do not share your information with non-affiliated companies who intend to market their products to you. For example, we will not share or sell client information to a marketing company.

If you are a new client, we may share your information when you sign our agreement. When you are no longer our client, we may continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing.

Securing Your Information

To protect your personal information from unauthorized access and use, we use security measures that comply with federal law, including digital safeguards, secured files, and offices.

Federal and State Law for Opting Out

Federal law allows you the right to limit the sharing of your nonpublic information by “opting out” of the following: sharing for non-affiliates everyday business purposes – information about your creditworthiness or sharing with affiliates or non-affiliates who use your information to market to you.

In addition, state laws and individual companies may give you additional rights to limit sharing.

Please notify us immediately if you choose to opt out of these types of sharing.

Messages and Opting Out

When using our website or other platforms to engage, schedule a meeting, or request information from us, you agree to the terms outlined in this Privacy Policy.

We will send you recurring messages from Optima Capital Management to the phone number you provide.

No consent is required to purchase our services. You can opt out of receiving messages by replying with STOP or UNSUBSCRIBE. Message and data rates may apply.

Definitions

Affiliates are companies that are related by common ownership or control. Affiliates can be financial and non-financial companies.

Non-affiliates are companies not related by common ownership or control. Non-affiliates can be financial and non-financial companies.

Joint marketing is a formal agreement between non-affiliated financial companies that market your financial products or services.