Rev. 05/2026

FACTS

WHAT DOES THE ARAX FAMILY OF COMPANIES 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 income
- Account balances and transaction history
- Investment experience and risk tolerance
- Assets and employment information
- Credit history and credit scores
- Name, address, date of birth, and contact information

When you are *no longer* our customer, we continue to share your information as described in this notice.

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, whether the Arax family of companies chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does the Arax family of companies 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	No	We don't share
For our affiliates to market to you	No	We don't share
For nonaffiliates to market to you	No	We don't share

Questions?

Call 713-366-0500, email compliance@uscwealth.com, or write to us at 4444 Westheimer Rd., Ste. G500, Houston, TX 77027

Who we are

Who is providing this notice?

This notice is provided on behalf of the following regulated financial services companies (collectively, the "Operating Companies"), which are wholly owned subsidiaries of Arax Investment Partners, LLC ("Arax"), a holding company that is not itself a registered broker-dealer, registered investment adviser, or other regulated financial institution:

- Arax Advisory Partners, LLC
- Ashton Thomas Private Wealth, LLC
- Ashton Thomas Securities, LLC
- Ashton Thomas Insurance Agency, LLC
- U.S. Capital Wealth Advisors, LLC
- USCA Securities, LLC
- USCA Insurance Agency LLC
- USCA Municipal Advisors LLC
- Quantum Portfolio Management, LLC
- Index Technologies Group, LLC
- Robin Glen, LLC d/b/a Arax Insurance Solutions

Together, Arax and the Operating Companies are referred to in this notice as the "Arax family of companies." Although Arax itself is not a regulated entity, it may provide certain centralized services to the Operating Companies, including but not limited to compliance, legal, technology, human resources, finance, and operations support. In its capacity as a service provider to the Operating Companies, Arax may receive and process your personal information as described in this notice. The privacy obligations described herein are undertaken by the Operating Companies as the entities with which you maintain your customer relationship, and Arax is bound by the same standards when handling your information on their behalf.

References to "we," "us," or "our" in this notice refer to the Arax family of companies collectively. Your customer relationship is with one or more of the Operating Companies, and each Operating Company is independently responsible for compliance with applicable privacy laws and regulations, including Regulation S-P under the Securities Exchange Act of 1934 and the Gramm-Leach-Bliley Act.

What we do

How does the Arax family of companies 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. We also maintain physical, electronic, and procedural safeguards that comply with applicable law, including:

- Encryption of sensitive data in transit and at rest
- Multi-factor authentication for access to systems containing personal information
- Regular security assessments and penetration testing
- Employee training on information security and privacy practices
- Access controls that limit employee access to personal information on a need-to-know basis
- Vendor due diligence and oversight for third-party service providers

How does the Arax family of companies collect my personal information?

We collect your personal information, for example, when you:

- Provide account information or your contact information
- Enter into an investment advisory contract
- Visit our website or interact with us on social media
- Tell us about your investment or retirement portfolio
- Open an account or apply for services
- Make deposits, withdrawals, or transfers
- Direct us to buy or sell securities
- Seek financial advice

We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.

Why can't I limit all sharing?

Federal law gives you the right to limit only:

- Affiliates from using your information to market to you
- Sharing for nonaffiliates to market to you
- Sharing for affiliates' everyday business purposes, information about your creditworthiness

State laws and individual companies may give you additional rights to limit sharing.

Definitions

Affiliates

Companies related by common ownership or control. They can be financial and nonfinancial companies. Our affiliates include the Operating Companies listed under "Who is providing this notice?" above, as well as Arax Investment Partners, LLC (our parent holding company, which is not itself a regulated financial institution) and any other companies owned or controlled by Arax.

Nonaffiliates

Companies not related by common ownership or control. They can be financial and nonfinancial companies. The Arax family of companies does not share with nonaffiliates so they can market to you.

Joint marketing

A formal agreement between nonaffiliated financial companies that together market financial products or services to you. Our joint marketing partners include: N/A.

Other Important Information

- We reserve the right to amend this Privacy Notice at any time. If we make material changes to this notice, we will notify you by posting the revised notice on our website with the updated revision date, and where required by law, we will provide you with a new copy of the revised notice.
- California residents: Please go to www.uscwealth.com to learn more about our Privacy Notice for California Residents.
- Nevada residents: Nevada law requires us to disclose to you that you may request to be placed on our "do not call" list at any time by calling 713-366-0500, and that we are providing this notice to you pursuant to state law. You may obtain further information by contacting the Nevada Attorney General, 555 E. Washington Ave., Ste. 3900, Las Vegas, NV 89101; phone 1-702-486-3132; email BCPINFO@ag.state.nv.us.
- Vermont residents: We will automatically limit sharing of your information.