

Legal Disclaimers - Class VI Securities, LLC Member, FINRA

Privacy Statement Disclaimer

This Privacy Policy sets forth the manner in which Class VI Securities may collect, utilize and maintain nonpublic information about individual persons, as required under federal and other applicable law. Class VI Securities is committed to protecting privacy and maintaining the confidentiality and security of an investors' personal information. This notification, which is required by law, explains our Privacy Policies. Please note we will consult government-provided lists of known or suspected terrorists for individual clients and those who can transact business on behalf of institutional clients.

We will safeguard, according to strict standards of security and confidentiality, nonpublic, personal information our customers share with us. "Nonpublic, personal information," for example, would include such information as your name, address, social security number, and date of birth. We will maintain safeguards, physical and electronic, and conduct our business in a manner that keeps personal customer information secure.

We will limit the collection and use of customer information to the minimum we require to deliver superior service and to administer our business, recognizing, however, that we do need to obtain information to make suitable recommendations and to conduct appropriate "due diligence" in our investment banking business. We may collect personal information from customers from the following sources:

- From customers on questionnaires, subscription agreements and related forms;
- From your transactions with us, our affiliates and others;
- From background checks (not consumer reports);
- From non-affiliated third parties.

It is our policy that only authorized employees of Class VI Securities, LLC, its agents, and its staff who need to know your personal information will access and use it. Employees of Class VI Securities, LLC who violate our Privacy Policies are subject to discipline.

It is our policy that we will not share personal customer information (of either current or former customers) outside of Class VI Securities, LLC for any purpose other than the providing of investment banking services or the brokering or underwriting of securities transactions on behalf of the customer, unless the disclosure has been authorized by the customer or is permitted by law.

Whenever we retain other organizations to provide support services on behalf of Class VI Securities, LLC we will require them to protect customers' personal information.

When necessary, we will review and revise our Privacy Policies to protect personal customer information and will update this Privacy Notice accordingly.

Class VI Securities, LLC - Business Continuity Plan Disclaimer

Class VI Securities has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

Contacting Us – If after a significant business disruption you cannot contact us as you usually do at 720-733-0400 at our direct lines, you should call our alternative number 303-570-2288 (David Tolson cell phone) or send us an e-mail at david@classvipartners.com. As a second alternate, you can contact Chris Younger at 303-249-5272 or via email at chris@classvipartners.com.

Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm’s books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities, and books and records, if we are unable to continue our business.

Varying Disruptions – Significant business disruptions can vary in scope; they might affect only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within one business day. In a disruption affecting our business district, city, or region, we will recover and resume business as soon as practicable. In either situation, we plan to continue in business and notify you through our customer emergency number, 303-243-5601 on how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customers prompt access to their funds, securities, books, and records.

For more information – If you have questions about our business continuity planning, you can contact us at 720-733-0400.

Class VI Securities, LLC
101 University Boulevard, Suite 400
Denver, CO 80206
720-733-0400

Investor Identification Program Disclaimer

Important Information About Procedures for Establishing a Relationship with our firm: To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each investor in private funds. For what this policy means to you, please contact:

david@classvipartners.com or 303-570-2288.

FINRA BrokerCheck Disclaimer

FINRA BrokerCheck allows investors to learn about the professional background, business practices, and conduct of FINRA member firms or their brokers. The telephone number of the FINRA BrokerCheck is 800-289-9999, the website address <http://www.finra.org>. An investor brochure is also available upon request.

Rule 606

Rules 605 and 606 were adopted to standardize and improve public disclosure of execution and routing practices. Because our firm deals only with institutional clients, holds no customer accounts, and does not execute or route transactions in publicly traded securities, we are not subject to Rule 606.

General Disclosures

Class VI Partners and its affiliate Class VI Securities do not offer legal advice. No information contained on this website is intended to constitute legal advice. You should consult your own attorney to determine whether your activities would require you to register as a broker-dealer under federal or state law. Any linked third party material found on this site should not be considered to be endorsed by Class VI Partners or Class VI Securities. Class VI Securities only transacts business in states where it is properly registered, or excluded or exempted from registration requirements. Past performance may not be indicative of future results. Therefore, no current or prospective client should assume that the future performance of any specific investment, investment strategy (including the investments and/or investment strategies recommended and/or purchased by adviser), or product made reference to directly or indirectly on this Website, or indirectly via link to any unaffiliated third-party Website, will be profitable or equal to corresponding indicated performance levels. Different types of investment involve varying degrees of risk, and there can be no assurance that any specific investment will either be suitable or profitable for a client's investment portfolio. No client or prospective client should assume that any information presented and/or made available on this Website serves as the receipt of, or a substitute for, personalized individual advice from the adviser or any other investment professional. Historical performance results for investment indexes and/or categories generally do not reflect the deduction of transaction and/or custodial charges or the deduction of an investment-management fee, the incurrence of which would have the effect of decreasing historical performance results.

Client Quotations and Testimonials

Please note that the client quotations and testimonials contained in this website may not be representative of the experience of other clients, and are not intended as a guarantee of the firm's future performance or success. All client quotations and testimonials are only applicable to Class VI Securities, LLC. Class VI Family Office, LLC does not provide client quotations or testimonials.

Tombstone Announcements

The tombstone announcements contained on the Class VI Securities, LLC (fka CapitalValue Advisors) website appear as a matter of record only.

Links

Class VI Partners may provide links from this Site to a non-Class VI Partners' website or permit a link from a non-Class VI Partners' website to this site. Such links are for your convenience only and do not imply any affiliation with, or an endorsement, authorization, sponsorship or promotion of the non-Class VI Partners' website or its owner. Class VI Partners does not control or review any link, and accepts no responsibility for the content, products or services provided at these linked Web sites. If you decide to access such non-Class VI Partners' websites, you do so solely at your own risk and you should be aware that non-Class VI Partners' websites are governed by their own terms and conditions and privacy policies. Links to this Site may be made only with the permission of Class VI Partners. A link to this Site may be permitted in Class VI Partners' discretion, where, without limitation, such link (a) is to this Site's homepage, (b) clearly informs users that the link is to the Class VI Partners' website, (c) does not imply any affiliation, endorsement, sponsorship or other relationship between the link Class VI Partners' website or the website owner and Class VI Partners, (d) delivers this Site's content without framing or similar environment, and (e) maintains the integrity of this Site's layout, content and look and feel. Class VI Partners reserves the right in its sole discretion to refuse permission or to cancel permission to link to this Site at any time.