

### **PRIVACY NOTICE**

Nobles & Richards, Inc. ("N&R"), respects and is committed to protecting the privacy of you, our client. We gather a large amount of personal information about you and your financial situation. It is our policy not to disclose any nonpublic personal information about our clients or former clients to unaffiliated third parties; however, if it becomes necessary and you prefer that we not disclose such information to necessary third parties, you may opt out of those disclosures and direct us to contact you in advance of any disclosure of personal or financial information to third parties. Furthermore, regulatory authorities and law enforcement agencies may periodically review this information in order to determine compliance with securities laws.

We restrict access to client information to ensure that your personal information remains secure and confidential. We also maintain physical, electronic and procedural safeguards that comply with federal standards to protect your privacy. If you have questions or concerns about your account(s), please feel free to call our office at (214) 642-6603 or write to 801 East Plano Pkwy, Ste. 220, Plano, TX 75074.

### **FINRA'S CUSTOMER IDENTIFICATION PROGRAM NOTICE**

Federal law requires financial institutions to obtain, verify, and record information that identifies each person who opens an account such as your name, date of birth, address and taxpayer identification number. Non-U.S. Citizens may also need to provide non-expired, government-issued photo identification such as a passport, driver's license or other identifying documents.

A corporation, partnership, trust or other legal entity may need to provide other information, such as its principal place of business, employer identification number, articles of incorporation, a partnership agreement, or a trust agreement.

The SEC and Finra may also require you to provide additional information such as your net worth, annual income, occupation, employment information, investment experience and objectives, and risk tolerance. If the required documentation is not provided to us we may not be able to accept your investment.

### **BUSINESS CONTINUITY STATEMENT**

Nobles & Richards, Inc. ("N&R") conducts business with issuers of direct participation programs. These issuers receive your monies and maintain a record of your investment(s). Pursuant to regulatory requirements, N&R is hereby informing you of its position on business continuity practices. At N&R, we recognize that the unexpected can and does occur; from isolated instances to major outages. N&R wants you to know that we have an extensive plan in place to help safeguard your information, and we are working with the issuers in this regard. In addition, N&R also has plans in place to protect vital account and other information in the event of a significant business disruption.

N&R has pre-established contingency and disaster recovery plans. Components of these plans are tested on a periodic basis to ensure their adequacy and effectiveness. N&R considers contingency planning to be an on-going process, requiring periodic assessments of various risks and the appropriate response(s). At N&R, our continuity plan addresses, in detail (1) Data back-up and recovery of both hard copy and electronic records (2) All mission critical systems, including our telephone, e-mail, Internet and links to the issuers, (3) Financial and operational assessments, (4) Alternate communications between N&R and our customers, (5) Alternate communications between N&R and our employees, (6) Alternate physical location of employees, (7) Critical business constituent, bank, and counter-party impact, (8) Regulatory reporting, (9) Communications with regulators, and, (10) How N&R and the issuers will assure prompt access to your funds and/or securities (as applicable) in the event that N&R determines that it is unable to continue its business.

N&R has prepared contingency plans to address unforeseen events that may occur at the local, regional or national level. In the event of a localized disruption, such as a power outage to our offices or the Dallas-Fort Worth area, we have developed plans to re-locate our employees to an alternate location. We anticipate that the disruption to our business in this event will be minimal. If you have any questions, please contact N&R at (214) 642-6603.

### **COMPLAINT NOTIFICATION**

Direct any complaints to: Nobles & Richards, Inc., Attn: Compliance, 801 East Plano Parkway, Suite 220, Plano, TX 75074 or call (214) 642-6603.

### **FINRA BROKERCHECK**

Finra has created tool to help investors research the professional backgrounds of current and former Finra-registered brokerage firms and brokers. To learn more, visit [www.finra.org/brokercheck](http://www.finra.org/brokercheck) or call the hotline at (800) 289-9999. An investor brochure that includes information describing Finra BrokerCheck is also available.