

## PRIVACY POLICY

### Capital Markets IQ, LLC

FACTS	WHAT DOES CAPITAL MARKETS IQ, LLC (“CMIQ”) 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: <ul style="list-style-type: none"><li>▪ Social Security number and income</li><li>▪ Account balances and transaction history</li><li>▪ Investment experience and assets</li></ul>		
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 Markets IQ, LLC chooses to share; and whether you can limit this sharing.		
Reasons we may share your personal information		Does CMIQ 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		NO	We don't share
For joint marketing with other financial companies		NO	We don't share
For our affiliates' everyday business purposes - information about your transactions and experiences		NO	We don't share
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
To Limit Our Sharing	Call 310.882.6380 x 103  Please note: If you are a <i>new</i> customer, we can begin sharing your information 30 days from the date we sent this notice. When you are <i>no longer</i> 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 310.882.6380 x 103		

### Who we are

Who is providing this notice?	Capital Markets IQ, LLC
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### What we do

**How does CMIQ 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.

<b>How does CMIQ collect my personal information?</b>	<p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"> <li>▪ Enter into an investment management agreement, financial planning or consulting agreement with us</li> <li>▪ Seek advice about your investments or tell us about your investment or retirement portfolio</li> <li>▪ Make deposits or withdrawals from your custodian account</li> <li>▪ Give us your employment history, income and net worth</li> </ul>
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We also collect your personal information from your custodians or accountants when you have authorized us to receive information from them.

<b>Why can't I limit all sharing?</b>	<p>Federal law gives you the right to limit only</p> <ul style="list-style-type: none"> <li>▪ Sharing for affiliates' everyday business purposes—information about your creditworthiness</li> <li>▪ Affiliates from using your information to market to you</li> <li>▪ Sharing for non-affiliates to market to you</li> </ul>
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State laws and individual companies may give you additional rights to limit sharing. See below for more on your rights under state law.

<b>What happens when I limit sharing for an account I hold jointly with someone else?</b>	Your choices will apply to everyone on your account.
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## Definitions

<b>Affiliates</b>	Companies related by common ownership or control. They can be financial and non-financial companies.
<b>Non-affiliates</b>	Companies not related by common ownership or control. They can be financial and non-financial companies.
<b>Joint Marketing</b>	A formal agreement between non-affiliated financial companies that together market financial products or services to you.

**California residents:** Please note that certain types of personal information are exempt from state privacy laws. This information includes personal information we collect as part of our current or former client relationship with you pursuant to other privacy laws such as the federal Gramm-Leach-Bliley and Fair Credit Reporting Acts, and the California Financial Information Privacy Act. What we do with your personal information governed by the Gramm-Leach-Bliley Act is set forth herein.

**Nevada residents:** Nevada law requires us to disclose that you may request to be placed on our internal "do not call" list at any time by calling 310.882.6380 x 103, 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., Suite 3900, Las Vegas, NV 89101; phone 702-486-3132; email BCPINFO@ag.state.nv.us.

**Other important information:** We disclose our privacy policy on our website. We reserve the right to modify this policy at any time, but if we do change it, we will tell you promptly.

Please contact us via e-mail with any concerns / questions at: [legal@capitalmarketsiq.com](mailto:legal@capitalmarketsiq.com) or call us at 310.882.6380 ext. 103. You may also write to us at the address below.

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