

PRIVACY POLICY
Capital Markets IQ, LLC

FACTS**WHAT DOES CAPITAL MARKETS IQ, LLC (“CMIQ”) DO WITH YOUR PERSONAL INFORMATION?****WHY?**

CMIQ can choose how we share your personal information. Federal law gives you the right to limit some but not all sharing. Further, we are required to tell you how we collect, share and protect your personal information. Please read this policy carefully to understand what we do.

WHAT?

The type of personal information we collect and share depends on the product or service you have with us. This information can include:

- Social security number or Tax ID number
- Date of birth
- Income
- Assets
- Email Address
- Phone Numbers
- Transaction history/Investment Activity
- Account Numbers
- Personal goals & objectives
- Account balances
- Accounts at financial institutions
- Credit history

HOW?

We need to share your personal information to run our everyday business. Below we list the reasons financial companies may share your personal information, the reasons we share, and whether you can opt-out or limit this sharing.

| Reasons we may share your personal information | Does CMIQ Share? | Can you opt-out of this sharing? |
|---|------------------|----------------------------------|
| For our everyday business purposes - such as to process your transactions, carry out your requests, maintain your accounts or respond to court orders and legal investigations | YES | NO |
| For our marketing purposes - to offer our products and services to you | NO | No shared |
| For joint marketing with other financial companies | NO | No shared |
| For our affiliates' everyday business purposes - information about your transactions and experiences | NO | No shared |
| For our affiliates' everyday business purposes – information about your creditworthiness | NO | No shared |
| For our affiliates to market to you | NO | No shared |
| For nonaffiliates to market to you | NO | No shared |

To Limit Our Sharing

- Call 310.882.6380 x 103

Please note:

If you are a *new* client, we can begin sharing your information 30 days from the date we send this notice. When you are *no longer* our client, 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 delivering this notice?

Capital Markets IQ, LLC

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.

How does CMIQ collect my personal information?

We collect your personal information, for example, when you

- Enter into an investment management agreement or consulting agreement with us
- Seek investment advice from us
- Make deposits or withdrawals from your custodian account
- Make private investments
- Tell us about your investment or retirement portfolio
- Give us your employment history, income and net worth

We also collect your personal information from your custodians or accountants when you have authorized us to receive information from them.

Why can't I limit all sharing?

Federal law gives you the right to limit only

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

CMIQ only shares information to process your transactions or requests, maintain your accounts or respond to court orders and legal investigations.

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

What happens when I limit sharing for an account I hold jointly with someone else?

Your choices will apply to everyone on your account – unless you tell us otherwise.

Definitions

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

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 or call us at 310.882.6380 ext. 103. You may also write to us at the address below.

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