

PURESTREAM, LLC

CUSTOMER PRIVACY NOTICE

PureStream, LLC (“PSL”) considers privacy a fundamental aspect of our relationships with our customers, and we are committed to safeguarding the confidential information of our customers. Federal law requires us to tell you how we collect, share, and protect your personal information. The policy of PSL regarding personal information of current and former customers is as follows.

Information We Collect

In order to provide you with financial products and services, we collect information about you which may include non-public personal information. The personal information we collect may include amongst other items: (i) name, (ii) address, (iii) social security number, (iv) passport, (v) driver’s license and other government issued identification numbers, (vi) telephone numbers, and/or (vii) certain information about your personal assets, securities transactions, purchase amounts, income, and net worth.

PSL may collect this information from the following sources:

- Information you provide when you open an account with PSL or effect a transaction through PSL; or
- When you tell us about your financial situation, tax status, or other needs.

We may also collect your personal information from other companies, such as a consumer reporting agency, pursuant to your authorizing the provision by PSL’s affiliate(s) of such information to PSL.

Information We Share

PSL will not disclose your personal information to third parties, except under limited circumstances. PSL shares your personal information as necessary to provide you with financial products and services, including to effect transactions for you. Specifically, we share your information as follows:

- With other parties such as issuers, exchanges, anti-money laundering vendors, sponsors, banks, transfer agents, or escrow agents in order to execute your instructions.
- With select third-party vendors in order to create and maintain records of your transactions. These vendors are required to maintain confidentiality and security of information we share with them, and may not use the information for any other purpose.
- As required by law (e.g., we may be required to respond to a subpoena, or government agency or regulatory request).

PSL does not disclose your personal information for marketing or joint marketing purposes. If this changes, PSL will notify you prior to sharing any of your personal information for these purposes.

Whenever possible, we will offer you the opportunity to limit sharing of your personal information.

Definitions

- Affiliates:** Companies related by common ownership. Our affiliates include our parent company PureStream Trading Technologies Inc., which is a technology platform company.
- Non-Affiliates:** Companies not related to one another through common ownership or control. These can be financial or non-financial companies.
- Joint Marketing:** An agreement that has been formalized between non-affiliated financial companies that work together to market financial products and/or services to you.

Securing Your Information

PSL has physical, electronic, and procedural safeguards in place to protect the confidentiality of your information. We use various security measures designed to comply with all applicable federal laws and the requirements of our regulators. These measures include the use of physical barriers such as secured files, buildings and offices, as well as electronic means such as firewalls, encryption, and access controls. We also utilize confidentiality agreements, secure disposal protocols, and conduct periodic training for all employees.

Message on Electronic Communications

The use of electronic communications to send us information may not be secure. If you wish to send us information containing non-public personal information such as your social security number, date of birth, or account number, you may consider sending it via mail or overnight courier, or contacting us by telephone or encrypted email.

Other Important Information

To the extent that individual states have more restrictive laws, PSL will comply with those requirements. For example, for customers domiciled in California, we automatically assume that you do not want your personal information disclosed to non-affiliated third parties, except as permitted by California law.

Questions about this Notice

If you have questions about this notice, please contact PSL's Chief Compliance Officer, Armando Diaz, at armando@purestream.tech

Your Ability to Limit Information Sharing

Federal law gives you the right to limit some forms of information sharing. Those are:

- Sharing for affiliates’ everyday business purposes (i.e., information about your creditworthiness);
- Affiliates or non-affiliates from using your information to market to you; and
- State laws and individual companies may give you additional rights to limit sharing (check your state for more information on your rights under state laws).

Note that if you are a new PSL customer, we can begin sharing your information thirty (30) days after the date we provide this notice to you. When you are *no longer* our customer, we can continue to share your information as indicated in this notice. You may contact us at any time to limit our sharing of this information.

If you desire to limit the sharing of your information, simply check the box to the left, include your name and address below, and mail a copy of this form to PureStream, LLC, 10 East 53rd St, 18th Floor, New York, NY 10022, or contact PSL’s Chief Compliance Officer, Armando Diaz, at armando@purestream.tech.

Customer Name

Address