

**FACTS****WHAT DOES LIQUID CAPITAL MANAGEMENT, LLC (LIQUID CAPITAL) 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:

- Social Security number and income
- Banking information, loan amounts, loan account balances and payment history
- Credit history and credit scores

**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 Liquid Capital chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does Liquid Capital share?	Can you limit this sharing?
<b>For our everyday business purposes</b> — such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	YES	NO
<b>For our marketing purposes</b> — to offer our products and services to you	YES	YES
<b>For joint marketing with other financial companies</b>	NO	
<b>For our affiliates' everyday business purposes</b> – Information about your transactions and experiences	YES	NO
<b>For our affiliates' everyday business purposes</b> — information about your creditworthiness	YES	YES
<b>For our affiliates to market to you</b>	YES	YES
<b>For nonaffiliates to market to you</b> – such as brokers who may offer our products and service to you	NO	NO

**To limit our sharing**

- Call (415) 713-5784 or
- Email us: [hello@liquidstock.com](mailto:hello@liquidstock.com)

**Please note:**

If you are a *new* customer, we can begin sharing your information 30 days from the date we sent this notice. When you are *no longer* 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 (415) 713-5784 or email [hello@liquidstock.com](mailto:hello@liquidstock.com) or visit [Privacy Notice](#)

Who we are	
<b>Who is providing this notice?</b>	Liquid Capital Management, LLC, a Delaware limited liability company and its affiliates. See list of affiliates below.
What we do	
<b>How does Liquid Capital protect my personal information?</b>	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards, including encrypted documents, secured files and locked offices and buildings that house our operations.
<b>How does Liquid Capital collect my personal information?</b>	<p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"> <li>▪ Give us your contact information</li> <li>▪ Give us your income information</li> <li>▪ Provide account information</li> <li>▪ Use our Option Exercise Calculator and Online Portal</li> <li>▪ Enter into Private Equity Agreements</li> </ul> <p>We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.</p>
<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 nonaffiliates to market to you</li> </ul> <p>State laws and individual companies may give you additional rights to limit sharing.</p>
<b>What happens when I limit sharing for an account that I hold jointly with someone else?</b>	Your choices will apply to everyone on your account.
Definitions	
<b>Affiliates</b>	<p>Companies related by common ownership or control. They can be financial and nonfinancial companies.</p> <p>Our affiliates include: Goldman Sachs Asset Management, Morgan Stanley AIP, and Coller Capital</p>
<b>Nonaffiliates</b>	<p>Companies not related by common ownership or control.</p> <p>Nonaffiliates can be financial and nonfinancial companies, including any of our investors or service providers</p>
<b>Joint marketing</b>	A formal agreement between nonaffiliated financial companies that together market financial products or services to you.

	We do not currently engage in joint marketing with nonaffiliated financial companies
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**Other Important Information**

Notice to California residents: We will not share your personal information, except as permitted by law, with nonaffiliates other than for our everyday business purposes, as described above. You do not need to contact us to implement this privacy policy.

Notice to 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 (415) 713-5784, and that we are providing this notice to you pursuant to state law, and that 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](mailto:BCPINFO@ag.state.nv.us).

Notice to Vermont residents: We will automatically limit sharing of your information.

To learn more about our online privacy policies, please go to our [Privacy Notice](#).

This notice does not apply to individuals outside of the United States. Please go to our [Privacy Notice](#) to learn more about the privacy policies applicable to international users.