

FACTS

WHAT DOES EQUINUM, LLC (“EQUINUM”) 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?	<p>The types of personal information we collect and share depend on the product or service you have with us. This information can include:</p> <p>Social Security Number, name, address, telephone number, e-mail address, risk tolerance, tax information, brokerage accounts and account holdings and balances, financial and family background, security transactions and investment objectives, net worth, income, and fee payment history.</p> <p>When you are no longer our customer, we continue to share your information as described in this notice.</p>
How?	All financial companies need to share client personal information to run their everyday business. In the section below, we list the reasons financial companies can share their client personal information, the reasons Equinum chooses to share, and whether you can limit this sharing.

Reasons we can share your personal information	Does Equinum 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	YES	NO
For joint marketing with other financial companies	NO	N/A
For our affiliates’ everyday business purposes— information about your transactions and experiences	N/A	N/A
For our affiliates’ everyday business purposes— information about your creditworthiness	N/A	N/A
For non-affiliates to market to you	NO	N/A

Questions?	Call (718) 480-5600
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Who we are	
Who is providing this notice?	Equinum, LLC (“Equinum”)
What we do	
How does Equinum protect my personal information?	<p>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 and buildings.</p> <p>We restrict access to your non-public information to those employees and vendors who need to know that information to service your account.</p>
How does Equinum collect my personal information?	<p>We collect your personal information, for example, when you:</p> <p>Fill out an account application, sign our advisory agreement, open a brokerage/custodial account, communicate with us, purchase or sell securities, deposit or withdraw funds, provide or update your investment profile, instruct your broker, custodian or bank to forward your statements to us or grant us access to your information, instruct members of your family or other professionals such as accountants or attorneys to share your information with us.</p>
Why can't I limit all sharing?	<p>Federal law gives you the right to limit only:</p> <ul style="list-style-type: none"> • 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 <p>State laws and individual companies may give you additional rights to limit sharing.</p>
Definitions	
Affiliates	<p>Companies related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> • <i>Roth & Company, LLP</i>
Non-affiliates	<p>Companies not related by common ownership or control. They can be financial and nonfinancial companies.</p> <p><i>We will not share your information with any non-affiliates unless such sharing is necessary to service your account or is required by law.</i></p>
Joint marketing	<p>A formal agreement between non-affiliated financial companies that together market financial products or services to you.</p> <p><i>We have not entered into any joint marketing agreements.</i></p>
Other important information	
<p>Equinum considers the protection of your privacy to be an issue of utmost importance and holds all personal information provided to our firm in the strictest confidence. We reserve the right to change or update this policy. We will send all existing clients an updated Privacy Notice whenever we make significant changes to this policy.</p>	