

Lake Street Capital Markets, LLC (“Lake Street”) is committed to protecting your privacy and maintaining the confidentiality and security of your personal information. Nonpublic, personal information is never sold to an outside party for any reason. We do not disclose nonpublic, personal information about our present or former clients to third parties other than as described below. Any text message opt-in you receive from Lake Street Capital Markets will not be shared with third parties.

We collect information about you (such as your name, address, taxpayer identification number, transactions and account numbers) from our discussions with you, from documents that you may deliver to us and in the course of providing services to you. We may use this information to provide services to you, to open an account for you, to process a transaction for your account, to protect unauthorized persons from accessing your account, or otherwise in furtherance of our business.

In order to service your account and effect your transactions, we may transfer some or all of your personal information to non-affiliated third parties. Among other things, these non-affiliated third parties (a) help us carry out and finalize transactions; (b) mail account statements and other information for us; (c) help us verify information, including identity; (d) provide us with consulting accounting, legal and other services; and (e) help us develop, operate and maintain our services and systems.

We may also provide your personal nonpublic information to third parties such as securities exchanges, market makers, executing or prime brokers, data processing/software providers, and other financial institutions that assist us in servicing your account and have a need for such information. When we disclose such information to service providers and to financial institutions, we require them to protect the confidentiality of your information and to use the information only for the purposes for which we disclose it to them.

Finally, we may disclose personal, nonpublic information about you to non-affiliated third parties for the following reasons:

- As required by law;
- As required by regulatory or governmental agencies or auditors;
- In the event that we sell or merge all or part of our business; and
- As required by attorneys and accountants

In the event that we change this policy and determine that it is beneficial to share your personal nonpublic information with affiliated or unaffiliated third parties for reasons other

than those described above, we will notify you beforehand and give you the opportunity to opt-out of such information sharing.

We restrict access to nonpublic, personal information about you to internal personnel and affiliates who need to know the information to perform their job responsibilities and to conduct and process your business in an accurate and efficient manner. We maintain physical, electronic and procedural safeguards that comply with federal standards in order to protect your personal information such as storing client files and statements in a secure area and relying on electronic safeguards such as password protection and firewall installation.

Information about former customers is treated in the same confidential manner and is not shared with outside parties.