

## **RISE FINANCIAL SERVICES, LLC — PRIVACY POLICY**

Rise Financial Services, LLC ("Rise Financial"), a wholly owned subsidiary of Siebert Financial Corp. and an affiliated company of Muriel Siebert & Co., LLC, puts peace of mind first. We recognize the importance of protecting your personal information and take the responsibility of handling both your trust and personal information extremely seriously. As a regulated financial institution and a member of the Financial Industry Regulatory Authority ("FINRA") and the Securities Investor Protection Corporation ("SIPC"), Rise Financial is required to obtain certain personal information from our customers. The following Privacy Policy demonstrates our commitment to the privacy of your personal information.

### **1. INFORMATION WE COLLECT**

Rise Financial collects, uses, and retains your personal information to assist in properly administering our business and servicing your account, and to continuously improve our services to you. We collect nonpublic personal information about you from the following sources:

- *Applications and Forms*: Information such as your name, address, Social Security Number, date of birth, employment history, and investment objectives gathered from your applications, account forms, or requests for more information.
- *Transactional History*: Information about your trades, account balances, payment history, and interactions with our platform and services.
- *Consumer Reporting Agencies*: Information used to verify your identity or determine your creditworthiness, including credit relationships and credit history.
- *Digital Activity*: Information gathered via cookies, pixels, beacons, or similar tracking technologies to enhance your platform experience and analyze performance.
- *Other Sources with Your Consent*: Information from other institutions if you transfer positions to Rise Financial, or information you provide through subscription registrations or promotions.

Rise Financial is required to maintain accurate and complete information about your account. If your financial status, investment objectives, employment information, or life circumstances have recently changed, please contact Rise Financial Customer Service at [Insert Phone] or [Insert Email].

### **2. OUR COMMITMENT TO YOUR PRIVACY**

We do not sell customer information — whether you are a current or former Rise Financial customer — to anyone, for any reason, at any time.

We restrict access to your personal and account information to those employees and partners who need to know that information to manage your account and provide products or services to you.

Except as described below, we do not currently share your nonpublic personal information with any nonaffiliated third parties. If we were to do so in the future, the law requires Rise Financial to provide you with a reasonable opportunity to "opt out" — that is, to direct us not to share your nonpublic personal information with nonaffiliated third parties. If we were to seek to disclose your information in a way that is inconsistent with this policy, we will notify you in advance and provide you with a reasonable opportunity to opt out.

### **3. SHARING OF INFORMATION**

We may disclose nonpublic personal information from customers and former customers on a strictly limited, confidential basis to nonaffiliated third parties, including:

- *Essential Service Providers*: Firms that perform account maintenance, processing, and clearing services for us, such as our clearing firm, bank custodians, and fulfillment companies.
- *Affiliated Companies*: Rise Financial may share information with Siebert Financial Corp. and its affiliated entities as permitted by law and as necessary to service your account or offer you products and services.
- *Legal and Regulatory Authorities*: Government, regulatory, and self-regulatory organizations — including the SEC, IRS, FINRA, and NYSE — and to parties under court order or subpoena that request this information.
- *Authorized Parties*: Any third party you have specifically authorized to receive your information.

Rise Financial may report information about your account(s) to credit bureaus and/or consumer reporting agencies. You should be aware that late payments, missed payments, and/or other defaults on your account may be reflected in your credit reports.

### **4. SMS & COMMUNICATION PRIVACY**

Rise Financial is committed to respecting your communication preferences. SMS opt-in and phone numbers collected for SMS communication purposes will not be shared with any third party or affiliate for marketing purposes.

You may unsubscribe from SMS communications at any time by replying "STOP" to any message you receive. For assistance, reply "HELP" or contact Rise Financial Customer Service. Standard message and data rates may apply.

## **5. SECURITY & DATA PROTECTION**

We maintain physical, electronic, and procedural safeguards designed to protect your nonpublic personal information from unauthorized disclosure. Access to secure areas of our platform is protected by unique User IDs and multi-factor authentication where applicable. We instruct our employees to use the highest standards of care when handling your personal information with respect to your security and confidentiality.

In the event of a security breach involving your nonpublic personal information, Rise Financial will notify affected customers as required by applicable law, including SEC Regulation S-P.

## **6. YOUR RIGHTS AND OPT-OUTS**

If you prefer not to receive Rise Financial product and service updates or information we believe would be of interest to you, please contact Rise Financial Customer Service:

- **Phone: [800] 923-3863, Monday–Friday, 7:30 a.m. – 7:00 p.m. ET**
- **Email: [info@risefinancial.io](mailto:info@risefinancial.io)**

*State Privacy Rights:* Residents of certain states, including California, may have additional rights regarding access to, correction of, or deletion of their personal information under applicable state law. Please contact us to learn more or refer to our supplemental State Privacy Disclosure.

## **7. CHANGES TO THIS POLICY**

Rise Financial reserves the right to make changes to this Privacy Policy. We will notify you in advance of any material changes and provide you with the opportunity to opt out where required by law.

*Rise Financial Services, LLC is a wholly owned subsidiary of Siebert Financial Corp. and an affiliated company of Muriel Siebert & Co., LLC, member NYSE, FINRA & SIPC.*