

**FACTS**

**WHAT DOES FERRANTE CAPITAL DO WITH YOUR PERSONAL INFORMATION?**

<b>Why?</b>	Financial companies choose how they share your personal information. Federal laws, and certain state privacy laws, give 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.
<b>What?</b>	<p>To help the government fight the funding of terrorism and money laundering activities, federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account. What this means for you: When you open an account, we will ask for your name, address, date of birth, and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents. The types of personal information we collect and share depend on the product(s) or service(s) you have with us. This information can include:</p> <ul style="list-style-type: none"> <li>• Your account opening documentation, applications or other forms, which include name, address, phone number, social security number and date of birth;</li> <li>• Your potential or actual transactions with our affiliates, others or us;</li> <li>• Information, such as credit history or employment status, from non-affiliated third parties;</li> <li>• Information for special services offered by a third party, such as bill payment requests; and</li> <li>• For Investment Banking engagements, information we receive from you and your directors, officers, employees and agents about your business including its finances, technology, processes and customers.</li> </ul>
<b>How?</b>	All financial companies need to share customers' personal information to run their everyday businesses. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons Ferrante Capital LLC chooses to share and whether you can limit this sharing. In addition, a transfer or disclosure of customers' personal information occurs in connection with certain M&A (mergers & acquisitions) transactions, including prior to consummation of the transaction. Any such transfer or disclosure is only for purposes of integration, planning or consummation of the M&A transaction.

<b>Reasons we can share your personal information</b>	<b>Does Ferrante Capital LLC share?</b>	<b>Can you limit this sharing?</b>
For our everyday business purposes - such as to process your transactions, maintain your account(s), respond to court orders, audits, regulatory examinations, 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	yes
For our affiliates' everyday business purposes - information about your transactions and experiences	yes	no
For our affiliates' everyday business purposes - information about your credit worthiness	yes	yes
For our affiliates to market to you	yes	yes
For nonaffiliates to market to you	yes, in limited circumstances*	see note*

<b>To limit our sharing or to request additional information regarding our privacy policies</b>	<ul style="list-style-type: none"> <li>• Contact your Financial Advisor by telephone or in-person.</li> <li>• Mail or email page 2 of this form using the addresses provided.</li> <li>• Opt-out through email notification at <a href="mailto:info@ferrantecapitaladvisers.com">info@ferrantecapitaladvisers.com</a></li> </ul> <p>Please note: If you are a new customer, we can begin sharing your information for non-business purposes 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.</p>
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<b>Questions?</b>	Contact your Financial Advisor or <a href="mailto:info@ferrantecapitaladvisers.com">info@ferrantecapitaladvisers.com</a>
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\*Should your Financial Advisor resign from the firm under the "Broker Protocol," we will share your name, address, phone number, account title and email address with the new firm. We also share information in limited cases for joint marketing or events. Otherwise, we do not share data with nonaffiliates.

**Mail-in Form**

**Leave Blank OR** if you have a joint account, your choice(s) will apply to everyone on your account unless you mark the following check box:  apply my choices only to me

Mark any/all updates you want to limit:  
 Do not share information about my credit worthiness with your affiliates for their everyday business purposes.  
 Do not allow your affiliates or nonaffiliates to use my personal information to market to me.

<b>Name</b>		<b>Mail to:</b> Ferrante Capital LLC 208 89th ST South, Virginia Beach, VA 23415  <b>Email to:</b> <a href="mailto:info@ferrantecapitaladvisers.com">info@ferrantecapitaladvisers.com</a>
<b>Address</b>		
<b>City, State, Zip</b>		
<b>Account # (last 4 digits)</b>		
<b>Advisor Name</b>		

**Who we are**

Who is providing this notice?	Ferrante Capital LLC
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**What we do**

How does Ferrante Capital protect my personal information?	<ul style="list-style-type: none"> <li>• We train our employees to protect customer information.</li> <li>• We require independent contractors and outside companies who work with us to adhere to strict privacy standards through their contracts with us.</li> <li>• We continually enhance our security tools and processes.</li> <li>• We take steps to protect customer data and accounts by asking you for information that only you should know when you contact us.</li> </ul>
How does Ferrante Capital LLC collect my personal information?	Ferrante Capital LLC collects non-public personal information about you from the following sources: <ul style="list-style-type: none"> <li>• Your account opening documentation, applications or other forms;</li> <li>• Your potential or actual transactions with our affiliates, others or us;</li> <li>• Information, such as credit history or employment status, from non-affiliated third parties;</li> <li>• Information for special services offered by a third party, such as bill payment requests; and</li> <li>• For Investment Banking engagements, information we receive from you and your directors, officers, employees and agents about your business including its finances, technology, processes and customers.</li> </ul>
Why can't I limit all sharing?	Federal law gives you the right to limit only: <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; and</li> <li>• State laws and individual companies may give you additional rights.</li> </ul>
What happens when I limit sharing for an account I hold jointly with someone else?	Your choice will apply to everyone on your account unless you tell us otherwise or check the box at the beginning of this form.

**Definitions**

Affiliates	Any other entity with common ownership and/or control with Ferrante Capital LLC
Nonaffiliates	An entity that has no common ownership and/or control with Ferrante Capital LLC

Joint Marketing	A formal agreement or arrangement between nonaffiliated financial companies allowing them to jointly market financial products or services to you
<b>Other important information</b>	
<p><u>California residents</u>: We will not share information we collect about you with companies outside of Ferrante Capital LLC, unless the law allows. For example, we share information with your consent or to service your accounts.</p> <p><u>Vermont residents</u>: If your account has a Vermont billing address, we will automatically treat your account as if you have directed us not to share information about your creditworthiness with our Affiliates.</p>	