



Privacy Policy

CoreCap Investments, LLC, a registered broker-dealer and member of FINRA/SIPC and CoreCap Advisors, LLC, a SEC registered investment advisor (collectively, “CoreCap”), are committed to safeguarding the confidential information of our clients (“client” or “you”). Our policy with respect to your personal information is listed below and applies to all current and former clients.

Information CoreCap Collects

The information that CoreCap collects is used in conjunction with CoreCap’s regular process of business. CoreCap collects information about you from several sources, including, but not limited to:

- The information you provide to CoreCap on applications and forms, such as your name, address, social security number, marital status, employment status/details, assets, income, and health information;
- Information provided to CoreCap by CoreCap’s clearing firms, third-party service providers, mutual fund companies, insurance companies, CoreCap’s representatives and advisors, and your former broker-deal or investment advisor and consumer reporting agencies about your accounts and transactions.

Information We Share With Others

CoreCap does not share your personal information for marketing purposes. If CoreCap’s policy were to change, CoreCap would be required by law to notify you prior to sharing your information. CoreCap does share your personal information as necessary to conduct business on your account, including, but not limited to:

- With our employees, representatives/advisors as needed to open, maintain, and service your account(s);
- With unaffiliated third parties, such as our clearing firms, product sponsors and banks in order to carry out your instructions;
- With unaffiliated third party vendors in order to create and maintain records of your account. For example, information regarding your account is provided to a third party to create a statement.
- If your representative/advisor leaves our firm, he/she may take certain information so he/she may service your account;
- As required to do so by law such as via requirement by subpoena or as required to comply with a regulatory agency or government order;
- The information which you provide to us may be shared with our affiliates in order to offer products to offer products and services provided by those affiliates to you. **You may opt out of this type of information sharing.**

Protecting the Confidentiality and Security of Your Information

CoreCap has physical, electronic, and procedural security systems in place to protect the confidentiality of your personal information.

Opt-In Information

Should your representative/advisor leave CoreCap and you live in an “opt-in” state (such as California, Massachusetts, Main, Alaska, North Dakota, or Vermont) we must receive written affirmative consent from you prior to sharing your nonpublic personal information with your representative/advisor’s new



firm. You must contact the Compliance Department at (888) 296-3360 to notify us of your decision; CoreCap will provide you with the consent form.

Opt-Out Information

If you do not live in an “opt-out” state and do not want your representative/advisor to take your non-public information should he/she leave CoreCap, you have the right to opt-out of such disclosure. Should you decide that you do not wish for us to share your information with an affiliated or non-affiliated third party, you must contact the CoreCap Compliance Department at (888) 296-3360 to notify CoreCap of your decision. Please note that this may affect our ability to maintain your account. **Please note, if you opt-out of any type of information sharing, you will be opting out of all information sharing.**

Information for Vermont and California Customers

In response to Vermont regulation, if we disclose information about you to non-affiliated third parties with whom we have joint marketing agreements, we will disclose only your name, address, other contact information, and information about our transactions or experiences with you. In response to a California law, we automatically treat accounts with California billing addresses as if you do not want to disclose personal information about you to non-affiliated third parties except as permitted by the applicable California law. We will also limit the sharing of personal information about you with our affiliates to comply with California privacy laws that apply to us.

Other Important Notices

If you have any questions regarding this privacy policy, or have complaints or concerns about your account, please contact the Compliance Department at (888) 296-3360.

If you have any questions regarding your account, please contact your representative/advisor so that they may assist you.

If you have problems concerning your representative/advisor, please contact the Compliance Department at (888) 296-3360.

For more information about Securities Investor Protection Act (“SIPC”), including how to obtain the SIPC brochure, you may contact SIPC at (202) 371-8300 or visit their website at www.sipc.org.

Should you like information regarding FINRA Broker Check, or would like to receive a copy of the Public Disclosure Program Investor Brochure, please contact FINRA at (800) 289-9999 or visit their website at www.finra.org.

To help the government fight the funding of terrorism and money laundering, your name will be verified by searching the Treasury’s Office of Foreign Asset Control’s “Specially Designated National and Blocked Persons” list.

If your account becomes inactive for a certain period of time your account balance and outstanding credits may be transferred to a state unclaimed property administrator. The period of time is specific by state law and varies from state to state.