

3.NF-EMC-01-0320

PRIVACY POLICY

The following is a description of Arkadios Capital, LLC's (Arkadios) policies regarding disclosure of nonpublic personal information that you provide to Arkadios or that Arkadios collects from other sources.

Categories of Information Arkadios Collects. Arkadios collects the following nonpublic personal information about you:

- Information Arkadios receives from you on applications or their forms, correspondence, or conversations (such as your name, address, phone number, social security number and date of birth); and
- Information about your transactions with Arkadios , their affiliates, or others (such as your account number and balance, payment history, parties to transactions, cost basis information, and other financial information).

Categories of Information Arkadios Discloses. Arkadios does not disclose any nonpublic personal information about their current or former clients or accounts to unaffiliated third parties, except as required or permitted by law. Arkadios is permitted by law to disclose all of the information they collect, as described above, to their service providers (such as the clearing firm) to process your transactions and otherwise provide services to you.

Confidentiality and Security. Arkadios restricts access to your nonpublic personal information to those persons who require such information to provide products or services to you. Arkadios maintains physical, electronic, and procedural safeguards that comply with federal standards to guard your nonpublic personal information.