

SAFEGUARDING YOUR PRIVACY CONSUMER NOTICE

CUSTOMER IDENTIFICATION PROGRAM NOTICE

CUSTOMER INQUIRY NOTICE

Redbridge Securities LLC (“Redbridge Securities”) and its affiliates, including Redbridge Finance LLC (“Redbridge Finance”), are committed to safeguarding the confidentiality and privacy of the information we maintain on all our clients. This notice describes how we manage and safeguard information about you, our individual client, who seeks or obtains financial products or services from us primarily for personal, family or household purposes. It covers how we protect the information which we have about our current and former individual clients.

When you create an account with Redbridge Securities, you provide certain information to us, including, but not limited to, your name, address, telephone number, email address, and personal financial information such as your income (“Personal Information”). We may disclose your Personal Information to our parent company, subsidiaries, affiliates, vendors, or other relevant third parties in connection with providing you the services we offer, such as creating an account with Redbridge Finance on your behalf.

Additionally, Redbridge Securities may share information with its affiliates and certain third parties that you have identified as having a commercial relationship with you and approve sharing information. If your account is managed by, or associated with, a registered investment adviser, then Redbridge Securities may share any and all information regarding your account to your advisor on record. This website collects IP addresses or domain names anytime a web page is requested from our server. This information is used to analyze site traffic. The URL of a referring web page also may be logged for the same purpose.

Information provided by site visitors is collected to assist us in the performance of services offered by Redbridge Securities. If you send us an email, your email address will be displayed in the message that we receive. We use this information to reply to your inquiry and we keep your email message for our records and future reference as required by regulation. It is the privacy policy of Redbridge Securities not to share that information with other unaffiliated companies or organizations, unless we are required to do so by law, court order or regulatory requirements.

Collected information is not shared with other unaffiliated organizations for commercial purposes. Frequently, users voluntarily provide nonpublic personal information to Redbridge Securities. If you provide your mailing address to us online, then you may receive periodic mailings from us with information relating to the business and services of Redbridge Securities. Likewise, if you provide us your telephone number online, then you may receive telephone contact from us with information relating to the products and services of Redbridge Securities. As e-commerce evolves, we shall make the appropriate updates of security policy changes on our website for your review. The success of our business relationship with online clients depends on our ability to maintain the trust of our users. If you have any questions, please contact us.

Redbridge Securities does not share any client information with nonaffiliated third parties for marketing purposes and never sells any client information to anyone for any reason.

If you’re an international user, please note that by providing your personal information, you are: (1) permitting the transfer of your personal information to the United States which may not have the same

data protection laws as the country in which you reside; and (2) permitting the use of your personal information in accordance with this privacy policy.

If you are a current Redbridge Securities client and wish to opt-out, you can do so by emailing bbae@rbsecurities.com.

IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT

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.

IMPORTANT INFORMATION ABOUT CLOSING AND DELETING ACCOUNTS

To close your account, you must first close any positions and withdraw all remaining funds. Once your account has a zero-dollar balance and no positions, in the app go to the Help Center and contact us by Phone or Online Chat to have your account closure request processed. You can also email your request to bbae@rbsecurities.com. Once your account is closed, you can still login to the app however no records will be available. You may be able to retrieve statements, tax documents, and trade confirmations by logging into www.bbae.com/docs with your app login. These documents, and additional records, are retained for a period of time as required by regulations, but they are not retained indefinitely. Your information will not be used for anything other than fulfilling our regulatory requirements. We strongly suggest downloading any documents you may need in the future prior to closing your account.

In addition to closing your account, if you want to delete your login, please email us at bbae@rbsecurities.com. Once your account is deleted, you will no longer be able to log into the app or retrieve statements, tax documents, and trade confirmations from www.bbae.com/docs. We strongly suggest downloading any documents you may need in the future prior to requesting an account deletion. If your account has already been deleted and you need to request account documents, please email us at support@rbsecurites.com and we will determine if the documents are available. Please be advised that account documents, and additional records, are retained for a period of time as required by regulations, but they are not retained indefinitely. Your information will not be used for anything other than fulfilling our regulatory requirements. Please contact our customer support team with any questions at 1-800-950-5266 or bbae@rbsecurities.com.

YOUR RIGHTS REGARDING YOUR PERSONAL INFORMATION

You have the right to request that BBAE delete personal information collected by you at any time, subject to certain exceptions allowed under applicable law and to meet our regulatory requirements. These requests can be emailed to bbae@rbsecurities.com. We will confirm receipt of the request within 5 business days.

CUSTOMER INQUIRY NOTICE

SEC Rule 17a-3(a) (18) requires our Firm to maintain a record indicating that each client or investor has been provided with a notice containing the address to which you may transmit any inquiries that you may have respecting our Firm. Customer inquiries may be directed to: bbae@rbsecurities.com.