|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| S:\NLDistributors\Legal Team\Legal Team Docs\Company Logos\NLD-Horizontal.JPGLogo, company name  Description automatically generated    **Rev. February 2021** | | | | |
| **FACTS** | WHAT DO ULTIMUS FUND DISTRIBUTORS, LLC (“UFD”) & NORTHERN LIGHTS DISTRIBUTORS, LLC ("NLD") DO WITH YOUR PERSONAL INFORMATION? | | | |
| **Why?** | Financial companies choose how they share your personal information. Federal law gives 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. | | | |
| **What?** | The types of personal information we collect and share depend on the product or service you have with us. This information can include: | | | |
| * Social Security number * Employment information * Account balances | * Account transactions * Income * Investment experience | | |
| When you are no longer our customer, we continue to share your information as described in this notice. | | | |
| **How?** | All financial companies need to share a customer’s personal information to run their everyday business - to process transactions, maintain customer accounts, and report to credit bureaus. In the section below, we list the reasons financial companies can share their customer's personal information; the reasons UFD & NLD choose to share; and whether you can limit this sharing. | | | |
| Reasons we can share your personal information | | | **Do UFD & NLD share?** | **Can you limit this sharing?** |
| For our everyday business purposes -- such as to process your transactions, maintain your account(s), respond to court orders 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 | | | Yes | No |
| For our affiliates’ everyday business purposes -- information about your transactions and experiences | | | Yes | No |
| For our affiliates’ everyday business purposes -- information about your creditworthiness | | | No | We don't share |
| For nonaffiliates to market to you | | | No | We don't share |
| **Questions?** | Call (513) 587-3400 or go to www.NLDistributors.com | | | |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Page 2** |  |  |  |  |
|  |  |  |  |  |
| Who we are | | | | |
| **Who is providing this notice?** | | Ultimus Fund Distributors, LLC & Northern Lights Distributors, LLC | | |
| What we do | | | | |
| **How do UFD & NLD protect my personal information?** | | To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings. | | |
| **How do UFD & NLD collect my personal information?** | | We collect your personal information, for example, when you | | |
| * open an account * give us your income information * provide employment information | * provide account information * give us your contact information * visit our website | |
| We also collect your personal information from others, such as credit bureaus, affiliates, or other companies. | | |
| **Why can’t I limit all sharing?** | | Federal law gives you the right to limit only   * sharing for affiliates’ everyday business purposes—information about your creditworthiness * affiliates from using your information to market to you * sharing for nonaffiliates to market to you   State laws and individual companies may give you additional rights to limit sharing. | | |
| Definitions | | | | |
| **Affiliates** | | Companies related by common ownership or control. They can be financial and nonfinancial companies.  *Affiliates of UFD & NLD include*:   * *Blu Giant, LLC* * *Gemini Fund Services, LLC* * *Gemini Hedge Fund Services, LLC* * *LeverPoint Management, LLC* * *Northern Lights Compliance Services, LLC* * *The Ultimus Group, LLC* * *The Ultimus Group Employee, LLC* * *The Ultimus Group Intermediate, LLC* * *The Ultimus Group Management, Inc.* * *The Ultimus Group Midco, LLC* * *Ultimus Holdings, LLC* * *Ultimus Intermediary, LLC* * *Ultimus Fund Solutions, LLC* * *Ultimus Fund Distributors, LLC* * *Ultimus Asset Services, LLC* * *Ultimus Private Fund Solutions, LLC* | | |
| **Nonaffiliates** | | Companies not related by common ownership or control. They can be financial and nonfinancial companies.   * *UFD & NLD do not share with nonaffiliates so they can market to you.* | | |
| **Page 3** |  |  |  |  |
|  |  |  |  |  |
| **Joint marketing** | | A formal agreement between nonaffiliated financial companies that together market financial products and services to you.   * *Our joint marketing partners include other financial service companies.* | | |
| Other important information | | | | |
| **California:** Under California law, we will not share information we collect about you with companies outside of UFD & NLD, unless the law allows. For example, we may share information with your consent, to service your accounts. We will limit sharing among our companies to the extent required by California law. | | | | |

2150-NLD-2/3/2021