



FACTS

WHAT DOES PALLADIUM CAPITAL GROUP, LLC (“Palladium”) 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. Palladium values its client’s privacy, but in certain scenarios we are required to share information about you. 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 depends on the product or service receive from us. This information can include the following.

- U.S. citizens: taxpayer identification numbers (Social Security or employer identification numbers)
- Non-U.S. citizens: taxpayer identification number; passport number and country of issuance; alien identification card number; or government-issued identification number.
- Names, date of birth, addresses, and telephone numbers
- Account transactions
- Transaction history
- Other account information

How?

All financial companies need to share customers’ personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers’ personal information; the reasons Palladium chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Do we share?	Can you limit this Sharing?
For our everyday business purposes— such as to process your transactions with financial counterparties and to respond to court orders and legal investigations	Yes	No
For our marketing purposes— to offer our products and services to you	No	We don’t share
For joint marketing with other financial companies	No	We don’t share
For our affiliates’ everyday business purposes— information about your transactions and experiences	No	We don’t share
For our affiliates’ everyday business purposes— information about your creditworthiness	No	We don’t share
For our affiliates to market to you	No	We don’t share
For nonaffiliates to market to you	No	We don’t share

Questions?

Call (646) 485-7297 or go to www.Palladiumcapital.com

Who we are	
Palladium Capital Group, LLC	We provide investment banking services to emerging growth companies and raise assets for various investment opportunities.
What we do	
How does Palladium 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 does Palladium collect my personal information?	We collect your personal information, for example, when you <ul style="list-style-type: none"> ■ Purchase a security offering ■ Send us wire instructions ■ Provide account information ■ Give us your contact information
Why can't I limit all sharing?	Federal law gives you the right to limit only <ul style="list-style-type: none"> ■ sharing for affiliates' everyday business purposes, including information about your creditworthiness ■ affiliates from using your information to market to you ■ sharing for nonaffiliates to market to you <p>State laws and individual companies may give you additional rights to limit sharing.</p>
Definitions	
Affiliates	Companies related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> ■ <i>Palladium does not share your information with affiliates to enable their marketing efforts.</i>
Nonaffiliates	Companies not related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> ■ <i>Palladium does not share with non-affiliates to enable their marketing efforts.</i>
Joint marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. <ul style="list-style-type: none"> ■ <i>Palladium does not participate in joint marketing efforts.</i>