



Privacy Notice 2021

At The Roosevelt Investment Group, LLC, we recognize the importance of protecting our clients' privacy and have policies to maintain the confidentiality and security of your nonpublic personal information. This notice is designed to help you understand what information we collect how we use it.

Categories of Information We May Collect

In the normal course of business, we may collect the following types of information:

- Information you provide in an investment management agreement and other forms (such as name, address, social security number, date of birth, income, and other financial-related information)
- Data about your securities transactions (such as the types of investments you have made and your account status)
- Data about your interactions with us (such as through account or information inquiries via mail, email, website, or telephone)

How We Use Your Information

During the normal course of business we may share our clients' nonpublic personal information with our staff and nonaffiliated third parties which are service providers to us. Our service providers include our accountants, attorneys, consultants and vendors. In addition, if you have given us permission, we may share information with anyone you designate, such as your relatives or service providers (such as an attorney or accountant). Finally, we share client information with entities or people who referred clients to us, and pursuant to a joint marketing agreement.

Additionally, we may disclose nonpublic personal information as required by law (such as to respond to a subpoena) or to satisfy a request from a regulator and/or to prevent fraud. Without limiting the foregoing, we may disclose nonpublic personal information to governmental entities and others in connection with meeting our obligations to prevent money laundering including, without limitation, disclosure that may be required by the Uniting and Strengthening America Act by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism (USA PATRIOT) Act of 2001 and the regulations promulgated thereunder. If we dispose of clients' nonpublic personal information that we are not legally bound to maintain, we will do so in a manner that reasonably protects such information from unauthorized access. The same policy also applies to former clients.

Confidentiality and Security

We restrict access to our clients' nonpublic personal information to employees and agents who need to know that information to provide products and services to us and our clients. We maintain physical, electronic, and procedural safeguards to protect our clients' nonpublic personal information. We respect and value that you have entrusted us with your private financial information, and we will work diligently to maintain that trust. We are committed to preserving that trust by respecting your privacy as provided herein.

If you have any questions regarding this privacy notice, please contact Steven Weiss at 646-452-6700.