

## 2016 06-16 CapFi Privacy Policy

### 1. Privacy Policy

This Privacy Policy sets forth the manner in which CapFi Partners, LLC (“CapFi”) may collect, utilize and maintain nonpublic information about individual persons, as required under federal and other applicable law. CapFi is committed to protecting privacy and maintaining the confidentiality and security of an investors’ personal information.

Collection of Information - CapFi may collect personal information about investors from the following sources:

- CapFi may request that investors and clients complete CapFi’s Customer Documentation Records that includes questionnaires and other requests for information.
- Investor questionnaires and other information provided by the investor in writing, in person, by telephone, electronically or by any other means. This information may include name, address, employment information and financial and investment qualifications as applicable;
- Information about investors from financial institutions and service providers that an investor has authorized to provide such information to CapFi; and
- Verification services and consumer reporting agencies, which may include information regarding an investor’s creditworthiness or credit history, as applicable.

Disclosure of Nonpublic Personal Information - CapFi does not disclose nonpublic personal information about investors or potential investors to affiliates or non-affiliated third parties except as permitted by law. CapFi may share nonpublic personal information about investors, without the investor’s consent, with affiliated and non-affiliated parties in the following situations, among others:

- In connection with the administration and operations of CapFi products and services, with its brokers, attorneys, accountants, auditors, administrators or other service providers;
- To respond to a subpoena or court order, judicial process or regulatory inquiry;
- In connection with a proposed or actual sale, merger or transfer of all or a portion of its business;
- To protect or defend against fraud, unauthorized transactions (such as money laundering), law suits, claims or other liabilities;
- To respond to requests for information regarding compliance with anti-money laundering laws, anti-terrorist due diligence, disclosure or reporting requirements;
- Upon consent of an investor to release such information, including authorization to disclose such information to persons acting in a fiduciary or representative capacity on behalf of the investor;
- To assist CapFi in offering affiliated products and services to investors; and
- CapFi may share nonpublic personal information about investors at investor direction or with investor consent.

Former and Prospective Investors - This Privacy Policy applies to prospective and former investors.

Protection of Subscriber Information - CapFi maintains physical, electronic and procedural safeguards that comply with federal standards to protect investor information. CapFi restricts access to the personal information of investors to those registrants and employees who need to know that information in the course of their job responsibilities.

Further Information - CapFi reserves the right to change its Privacy Policy at any time. The examples contained within this Policy are illustrations and are not intended to be exclusive. CapFi's Privacy Policy complies with federal law regarding privacy. Investors may have additional rights under other domestic or foreign laws that may apply.

## 1. Anti-Money Laundering Customer Identification Program Notice

### **Important Information About Establishing a Business Relationship with Our Firm.**

To help the government fight the funding of terrorism and money laundering activities, federal law requires financial institutions to obtain, verify and record information that identifies each person or entity with whom we conduct business.

### **What this means for you: We will ask our institutional clients the following:**

A corporation, partnership, trust or other legal entity may need to provide other information, such as its principal place of business, local office, employer identification number, certified articles of incorporation, government-issued business license, a partnership agreement or a trust agreement **and other information that will allow us to identify you**. U.S. Department of the Treasury, Securities and Exchange Commission and FINRA Rules require this information to be provided.

### **Without the requested information, we may not be able to conduct business with you.**

## 2. SIPC

The Securities Investor Protection Corporation (SIPC) is a non-profit organization established by Congress to insure client accounts against the failure of member brokerage firms. For more information about SIPC, please visit their website at [www.sipc.org](http://www.sipc.org) or call 202-371-8300.

## 3. Business Continuity Plan

CapFi Partners LLC has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

Contacting Us – If after a significant business disruption, you cannot contact us as you usually do at 202-753-5100 or [mkimsey@capfipartnersllc.com](mailto:mkimsey@capfipartnersllc.com), you should call our alternative number at 917-734-3925 or go to our website at [www.capfipartnersllc.com](http://www.capfipartnersllc.com).

Our Business Continuity Plan - We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our associated persons and property, making a financial and operational assessment, protecting the firm's books and records, and allowing our investors to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data backup and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and

counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

We back up our important records electronically. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption our objective is to restore our operations and be able to complete existing transactions and accept new transactions within forty-eight hours.

Varying Disruptions - Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within forty-eight hours. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business within three days.

For more information - If you have questions about our business continuity planning, you can contact us at 1750 Tysons Blvd., Suite 1500, McLean, VA 22102.

#### 4. FINRA BrokerCheck

The FINRA website, [www.finra.org/brokercheck](http://www.finra.org/brokercheck), provides information for investors on the professional background, business practices and conduct of FINRA member firms and their brokers. FINRA BrokerCheck can also be contacted by phone at 800-289-9999.

#### 5. Complaints

If you have complaints regarding your business relationship with CapFi Partners, LLC please contact Mr. Mark Kimsey, Chief Compliance Officer at [mkimsey@capfipartnersllc.com](mailto:mkimsey@capfipartnersllc.com). Mr. Kimsey can also be contacted by phone at 202-753-5100, or by mail at CapFi Partners LLC, 1750 Tysons Blvd., Suite 1500, McLean, VA 22102.

#### 6. Annual Disclosure to Customers

FINRA Rule 2261 Disclosure of Financial Condition to Customers: Upon written request the firm will provide a copy of its audited financials to any customer that requests it. Please send your request to Mark Kimsey, Chief Compliance Officer, CapFi Partners LLC, 1750 Tysons Blvd., Suite 1500, McLean, VA 22102.