



## **Privacy Notice of LevelX Capital , LLC**

We collect nonpublic personal information about you, including your name, address, account balances and transaction information, from your account application and other forms that you may deliver to us, and from your transactions with us and our affiliates. This is information that regulators consider necessary for the proper servicing of your account. In order to execute your transactions and service your account properly, we may disclose all of the information that we collect, as described above, to firms that assist us in servicing your account, such as the clearing broker- dealer.

All records containing your nonpublic personal information are kept at our principal place of business and may also be kept by our service provider(s), and affiliates. In connection with servicing your account, your nonpublic personal information may be shared among the entities named in this notice, their affiliates, and non-affiliates who provide services regarding or relating to your account, including transfer agents or other service companies. Our affiliates and any non-affiliated service providers are required to protect the confidentiality of your information and to use the information only for the purposes for which disclosure to them is made. Service providers restrict access to nonpublic personal information about you to those employees, who need to know that information to provide products and services to you. We, our affiliates, and service providers use maintain physical, electronic, and procedural safeguards to maintain the security of your nonpublic personal information.

We do not sell nonpublic personal information. We do not disclose nonpublic personal information about customers to non-affiliated third parties, except as described in this Privacy Notice or except as permitted or required by law.

### **Collection of Customer Information**

LevelX may collect non-public personal information about our customers from the following sources:

- Account application and other forms, which may include a customer's name, address, social security number, driver's license and information about a customer's income, net worth, investment goals and risk tolerance;
- Account History, including information about transactions and positions in customer's accounts; and
- Correspondence, written, telephonic or electronic between a customer and LevelX or service providers to LevelX.

### **Notice to California Residents**

If you are a California resident, please see below details about the personal information LevelX collects about California residents and the rights afforded to them under the California Consumer Privacy Act ("CCPA").

Subject to certain limitations and exceptions, the CCPA provides California residents the following right:

- The ability to request a covered business disclose the detailed personal information we collect;
- The opt-out of the sale of personal information, if applicable. LevelX does not sell personal information;

- The option to control and delete personal information. LevelX also gives everyone the option to delete cookies from visits to our products and websites. To do so, please contact our customer services at [support@levelx.com](mailto:support@levelx.com).
- Not be discriminated against for exercising rights they have under CCPA.

In accordance with California law, LevelX will not share information we collect about you with nonaffiliates, except as allowed by law. For example, LevelX may share information with your consent or to service your accounts. Among LevelX affiliates, LevelX will limit information sharing to the extent required by California law.

For exercising CCPA specific rights, please contact our customer services at [support@levelx.com](mailto:support@levelx.com). LevelX may verify the request by asking you to provide information that matches information we have on file about you. You can also designate an authorized agent to exercise these rights on your behalf, but LevelX will require proof that the person is authorized to act on your behalf and may also still ask you to verify your identity with us directly.

In the event that you close your account or become an inactive customer, we will adhere to the privacy policies and practices as described in this Privacy Notice.

LevelX Capital LLC is a member of Securities Investor Protection Corporation (SIPC), which protects securities customers to its members up to \$500,000 (including \$250,000 for claims for cash) . Explanatory brochure available upon request or at [www.sipc.org](http://www.sipc.org).

Securities trading is offered to self-directed customers by LevelX Capital LLC, a broker dealer registered with the Securities and Exchange Commission (SEC). LevelX Capital LLC is a member of the Financial Industry Regulatory Authority ([FINRA](#)), Securities Investor Protection Corporation ([SIPC](#)),