

MARINER PLATFORM SOLUTIONS, LLC PRIVACY POLICY NOTICE

Our Commitment to your Privacy

As a client or prospective client of Mariner Platform Solutions, LLC (the Firm), you share both personal and financial information with us. Your privacy is important to us, and we are dedicated to safeguarding your personal and financial information.

Information Provided

In the normal course of business, such as when you open an account, direct us to buy securities, seek advice about your investments, or enter into a contract, we typically obtain nonpublic personal information about our prospective and current clients, which may include but is not limited to:

- Personal identity such as name, address and social security number;
- Information regarding securities transactions effected by us or others;
- Information reported on applications or other forms provided by the client, including but not limited to net worth, assets, income, accounts and balances;
- Information developed as part of financial plans, analysis and other advisory services.

How We Manage and Protect Your Personal Information

In order to protect current, prospective and former clients' nonpublic, personal information, we maintain physical, electronic and procedural safeguards. The Firm also limits access to personal information to individuals who need to know that information in order to service your account and provides training to its associates and Investment Adviser Representatives on proper handling of personal information.

Our Privacy Policy restricts the use of your information and requires that it be held in strict confidence. Specifically:

- We do not share any of the above referenced non-public personal information about current, prospective and/or former clients to third parties, other than to our affiliates for everyday business purposes (but not information about your creditworthiness), nor is it our practice to disclose such information to third parties unless necessary to administer, manage, service, and provide related services for client accounts or as permitted to do so by law.
- In the event we deem it necessary to share information with outside companies that perform administrative services for the Firm, our contractual arrangements with these service providers require them to treat current, prospective and/or former client information as confidential.
- Except as otherwise stated above, we will only release non-public personal information if a client or client representative directs us to do so, or if we are compelled by law to disclose personal information, such as to government entities, credit bureaus or in response to subpoenas.
- We will not share your non-public personal information with a non-affiliate to market to you unless your financial advisor leaves the Firm, retires, or sells his or her practice.

In situations where a financial institution does disclose customer information to nonaffiliates, other than as permitted or required by law, customers must be given the opportunity to opt out or prevent such disclosure. As described herein, the Firm does not share or disclose current, prospective and/or former clients' nonpublic, personal information to nonaffiliates except where permitted or required by law or where your financial advisor leaves the Firm, retires, or sells his or her practice. Clients have the opportunity to opt out of such disclosure by calling (866) 249-1787. Federal law gives you the right to limit only certain categories of information sharing.

Definitions

Affiliates. Companies related by common ownership or control. They can be financial and nonfinancial companies.

Nonaffiliates. Companies not related by common ownership or control. They can be financial and nonfinancial companies. Nonaffiliates may include your financial advisor's company and investment adviser firm, your financial advisor's new broker-dealer, and investment adviser firm if your financial advisor chooses to leave the Firm, or other broker-dealers and investment adviser firms designated by your financial advisor if he or she leaves the Firm, retires, or sells his or her practice.

State-Specific Information

VT Residents: For accounts with a Vermont mailing address, we will automatically opt you out of sharing your information with nonaffiliates for marketing purposes unless you have provided the Firm with written authorization to opt you in to such sharing.

CA Residents: For accounts with a California mailing address, we will automatically opt you out of sharing your information with nonaffiliates for marketing purposes unless you have provided the Firm with written authorization to opt you in to such sharing. Additionally, you have the right to know what personal information is being collected, whether that information is sold or disclosed and to whom, and the right to stop the sale of your personal information.

Client Notifications

We will annually provide a notice to clients of our privacy policy. In the event of any changes to our privacy policy, we will provide clients with notice of such changes.