



## **MarshBerry Capital, Inc. Privacy Policy and Complaint Notification**

MarshBerry Capital, Inc.'s ("MarshBerry Capital") relationship with you is based on trust, and protecting the privacy of your personal information is a high priority for us. "Non-Public Information" is information received by MarshBerry Capital that identifies you, your business entity, and any personal or business assets. The following policies apply to consumers who are present or former clients of MarshBerry Capital.

1. MarshBerry Capital collects personal and business information in order to provide a high level of service. MarshBerry Capital does not sell your information to anyone, under any circumstances.
2. Unless you have specifically authorized MarshBerry Capital to do so, MarshBerry Capital does not disclose your non-public information to others except in these limited circumstances:
  - ◆ MarshBerry Capital discloses non-public information to co-advisers, brokers and other agents that help us process your transactions, such as vendors providing administrative services, ESOP consulting services, marketing services, data processing or computer software maintenance and development. These co-advisers, brokers, and vendors or other agents, are required to sign a non-disclosure agreement agreeing to maintain the confidentiality of non-public information. These entities are required to have policies and procedures in place to protect your confidential information.
  - ◆ MarshBerry Capital may also disclose non-public information if MarshBerry Capital believes in good faith that such disclosure is required to comply with applicable laws, such as cooperating with regulators, or to comply with court orders.

For example, in order to help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account. So, when you begin a relationship with us, MarshBerry Capital will ask for name, address, date of birth, date of incorporation and/or other information that will allow us to identify you and/or your business. MarshBerry Capital may also ask to see your passport, driver's license, or other identifying documents.

3. MarshBerry Capital collects information from you using due diligence lists, verbal requests, or other means determined by you or MarshBerry Capital. The information we collect may include name, address, telephone and facsimile numbers, email addresses, and Social Security number or tax identification number, among other documents.
4. MarshBerry Capital maintains physical, electronic and procedural safeguards that meet applicable legal standards to protect your non-public information.
5. If at any time in the future it is necessary for MarshBerry Capital to disclose any of your information in a manner inconsistent with this privacy policy statement, MarshBerry Capital will give you advance notice of the proposed change so that you will have an opportunity to "opt out" of such disclosure.

**For more information**-If you have questions about MarshBerry Capital's Privacy Policy please direct written correspondence to *28601 Chagrin Blvd., Suite 400, Woodmere, Ohio 44122.*

August 1, 2020

*Investment banking services offered through MarshBerry Capital, Inc., Member FINRA Member SIPC, and an affiliate of Marsh, Berry & Company, Inc. 28601 Chagrin Blvd., Suite 400, Woodmere, Ohio 44122,*