



## INFORMATION FOR CALIFORNIA CONSUMERS

<b>FACTS</b>	<b>WHAT DOES ASCENDANT* DO WITH YOUR PERSONAL INFORMATION?</b> <span style="float: right;">Rev. February 2017</span>	
<b>WHY?</b>	Financial companies choose how they share your personal information. The California Financial Information Privacy Act affords persons greater privacy protections than those provided in Public Law 106-102, the federal Gramm-Leach-Bliley Act. Please read this notice carefully to understand what we do.	
<b>WHAT?</b>	The types of personal information we collect and share depend on the product or service you have with us. This information can include: <ul style="list-style-type: none"> <li>▪ Social Security number and employment information</li> <li>▪ Account transactions and transaction history</li> <li>▪ Credit history and wire transfer details</li> </ul>	
<b>HOW?</b>	All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons Ascendant chooses to share; and whether you can limit this sharing.	
<b>Reasons we can share your personal information</b>	<b>Does Ascendant Share?</b>	<b>Can you limit this sharing?</b>
<b>For our everyday business purposes</b> — such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
<b>For our marketing purposes</b> — to offer our products and services to you	Yes	No
<b>For joint marketing with other financial companies</b>	No	We don't share
<b>For our affiliates' everyday business purposes</b> — information about your transactions and experiences	Yes	No
<b>For our affiliates' everyday business purposes</b> — information about your creditworthiness	No	We don't share
<b>For nonaffiliates to market to you</b>	No	We don't share
<b>Questions?</b>	Office of the Chief Compliance Officer: +1.877.452.7183 or email <a href="mailto:privacy@ascendant.world">privacy@ascendant.world</a> .	
<b>Who we are</b>		
<b>Who is providing this notice?</b>	Ascendant	

\*Ascendant Capital USA, Inc. does business as Ascendant

What we do	
<b>How does Ascendant protect my personal information?</b>	<p>To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.</p> <p>We further protect your personal information with:</p> <ul style="list-style-type: none"> <li>▪ Employee privacy and security training</li> <li>▪ Strict access controls</li> <li>▪ Confidentiality requirements for employees and service providers</li> </ul>
<b>How does Ascendant collect my personal information?</b>	<p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"> <li>▪ Open an account or show us your government issued ID</li> <li>▪ Make a wire transfer or provide account information</li> <li>▪ Tell us where to send the money</li> </ul> <p>We also collect your personal information from others, such as credit bureaus and other companies.</p>
<b>Why can't I limit all sharing?</b>	<p>Financial Code Section 4056 is a statutory exemption in which we may release your personal information without first providing notice to you if your personal information is necessary to maintain your account, to protect the confidentiality and security of our records pertaining to you and other consumers, to protect against fraud and theft, and so on. More information can be found in the FAQs – Part III on the Department of Business Oversight website at <a href="http://www.dbo.ca.gov/forms/sb1/Div_14_FAQs.pdf">http://www.dbo.ca.gov/forms/sb1/Div_14_FAQs.pdf</a>.</p>
Definitions	
<b>Affiliates</b>	<p>Companies related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> <li>▪ Ascendant is an affiliate of Ascendant Capital Inc. (Canada).</li> </ul>
<b>Nonaffiliates</b>	<p>Companies not related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> <li>▪ Ascendant does not share with non-affiliates so they can market to you.</li> </ul>
<b>Joint marketing</b>	<p>A formal agreement between nonaffiliated financial companies that together market financial products or services to you.</p> <ul style="list-style-type: none"> <li>▪ Ascendant doesn't jointly market.</li> </ul>

### Accuracy

**Ascendant has procedures in place to respond to requests to correct inaccurate information in a timely manner.**

1. You may verify your personal information on file with Ascendant by reviewing your account statements from the company(s) that perform clearing services for Ascendant clients.
2. If you need to inform Ascendant of a correction you may do so via telephone to +1 (877) 452-7185 or email to [info@ascendant.world](mailto:info@ascendant.world)
3. You should inform Ascendant immediately if you receive information you believe to be inaccurate.

### Other important information

On request, you shall be informed of the existence, use, and disclosure of your personal information and shall be given access to that information. You shall be able to challenge the accuracy and completeness of the information and have it amended as appropriate.

1. Ascendant will allow you access to review your nonpublic personal information as retained by Ascendant.
2. When you successfully demonstrate the inaccuracy or incompleteness of personal information, Ascendant will amend the information as required. Depending upon the nature of the information challenged, that amendment could involve the correction, deletion, or addition of information. Where appropriate, Ascendant will transmit the amended information to third parties having access to the information in question.
3. If a challenge to your personal information is not resolved to your satisfaction, the substance of, and reasons for the unresolved challenge shall be recorded and disclosed to you. When appropriate, Ascendant will transmit the existence of the unresolved challenge to any third parties who have access to the information in question.
4. In certain situations, Ascendant may not be able to provide access to all your personal information. Exceptions to the access requirement will be limited and specific. The reasons for denying access will be provided to you upon request. Exceptions may include information:
  - a. information that contains references to other individuals;
  - b. information that cannot be disclosed for legal, investigative, security, or commercial proprietary reasons; and,
  - c. information that is subject to attorney-client or litigation privilege.

### Government Contact

For the California Department of Justice Privacy Enforcement Protection Branch go to <http://oag.ca.gov/privacy> or call toll free +1 (800) 952-5225.

### Regulatory Notice

At any time, you may request to be placed on our internal —Do Not Call list by calling Ascendant at +1.877.452.7183 or email [privacy@ascendant.world](mailto:privacy@ascendant.world)