



## ***Notice of Privacy Policy & Practices***

The Williams Capital Group, LP ("Williams Capital") recognizes and respects the privacy concerns and expectations of our customers. We provide this notice to you so that you will know what kinds of information we collect and the circumstances in which that information may be disclosed to third parties who are not affiliated with Williams Capital.

### Collection of Customer Information

We collect nonpublic personal information about our customers from the following sources:

- *Account Applications and other forms*, which may include a customer's name, address, social security number, and information about a customer's investment goals and risk tolerance;
- *Account History*, including information about the transactions and security positions in a customer's accounts; and
- *Correspondence*, written, telephonic or electronic between a customer and Williams Capital.

### Disclosure of Customer Information

We may disclose all of the information described above to third parties who are not affiliated with Williams Capital under one or more of these circumstances:

- *As Authorized* - if you request or authorize the disclosure of the information.
- *As Permitted by Law* - for example, sharing information with companies who provide financial services or maintain or service customer accounts for Williams Capital.

### Security of Customer Information

We maintain physical, electronic and procedural to protect nonpublic personal information of customers of Williams Capital, including policies and procedures designed to assure only appropriate access to, and use of information about customers of Williams Capital.

We will adhere to the policies and practices described in this notice regardless of whether you are a current or former customer of Williams Capital.

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**THE WILLIAMS CAPITAL GROUP, L.P.**

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