

# FACTS

## WHAT DOES FALCONS ROCK IMPACT INVESTMENTS, LLC ("FALCONS ROCK IMPACT") DO WITH YOUR PERSONAL INFORMATION?

<b>Why?</b>	Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.
<b>What?</b>	<p>The types of personal information we collect and share depend on the product or service you have with us. This information can include:</p> <ul style="list-style-type: none"> <li>■ Social Security number and date of birth</li> <li>■ gross annual income and physical address</li> <li>■ mailing address <del>and</del></li> </ul> <p>When you are <i>no longer</i> our customer, we continue to share your information as described in this notice.</p>
<b>How?</b>	All financial companies need to share <b>client's</b> personal information to run their everyday business. In the section below, we list the reasons financial companies can share their <b>client's</b> personal information; the reasons <b>Falcons Rock Impact</b> chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does Falcons Rock Impact share?	Can you limit this sharing?
<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	No	No
<b>For joint marketing with other financial companies</b>	No	No
<b>For our affiliates' everyday business purposes—</b> information about your transactions and experiences	No	No
<b>For our affiliates' everyday business purposes—</b> information about your creditworthiness	No	No
<b>For our affiliates to market to you</b>	No	No
<b>For nonaffiliates to market to you</b>	No	No

<b>Questions?</b>	Call 262-250-3100 or go to <a href="http://www.falconsrockimpact.com">www.falconsrockimpact.com</a>
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## Who we are

Who is providing this notice?

Falcons Rock Impact Investments, LLC ("Falcons Rock Impact")

## What we do

How does **Falcons Rock Impact** protect my personal information?

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.

How does **Falcons Rock Impact** collect my personal information?

We collect your personal information, for example, when you

- open an account or modify investment objectives
- deposit funds or access [www.falconsrockimpact.com](http://www.falconsrockimpact.com)
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Why can't I limit all sharing?

Federal law gives you the right to limit only

- sharing for affiliates' everyday business purposes—information about your creditworthiness
- affiliates from using your information to market to you
- sharing for nonaffiliates to market to you

State laws and individual companies may give you additional rights to limit sharing.

## Definitions

**Affiliates**

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

- *Falcons Rock Investment Counsel, LLC*

**Nonaffiliates**

Companies not related by common ownership or control. They can be financial and nonfinancial companies.

- *TD Ameritrade, Inc.*
- *Jemstep, Inc.*

**Joint marketing**

A formal agreement between nonaffiliated financial companies that together market financial products or services to you.

- *N/A*

## Other important information

TD Ameritrade, Inc. is a registered brokerage firm providing brokerage and clearing services to clients of Falcons Rock Impact Investments, LLC. Falcons Rock Impact Investments, LLC is a registered investment adviser.

Jemstep, Inc. provides the digital platform to clients of Falcons Rock Impact Investments, LLC.

## **Important Privacy Choices for Consumers**

**You have the right to control whether we share some of your personal information. Please read the following information carefully before you make your choices below.**

**FOR CALIFORNIA RESIDENTS, ONLY:** Falcons Rock Impact Investments, LLC is required by the California Financial Information Privacy Act to provide this notice to annually. We will also send you an additional notice each year that tells you about your privacy rights under federal law.

### **Your Rights**

You have the following rights to restrict the sharing of personal and financial information with our affiliates (companies we own or control) and outside companies that we do business with. Nothing in this form prohibits the sharing of information necessary for us to follow the law, as permitted by law, or to give you the best service on your accounts with us. This includes sending you information about some other products or services.

### **Your Choices**

#### **Restrict Information Sharing With Companies We Own or Control (Affiliates):**

Unless you say “No,” we may share personal and financial information about you with our affiliated companies.

NO, please do not share personal and financial information with your affiliated companies.

#### **Restrict Information Sharing With Other Companies We Do Business With To Provide Financial Products And Services:**

Unless you say “No,” we may share personal and financial information about you with outside companies we contract with to provide financial products and services to you.

NO, please do not share personal and financial information with outside companies you contract with to provide financial products and services.

### **Modification and Retention**

You may make your privacy choice(s) at any time. Your choice(s) marked above will remain unless you state otherwise. However, if we do not hear from you we may share some of your information with affiliated companies and other companies with whom we have contracts to provide products and services. To modify your choices marked above, please visit [www.falconsrockimpact.com](http://www.falconsrockimpact.com).

Falcons Rock Impact Investments, LLC will maintain a true and correct copy of this consumer privacy notice which you will be entitled to upon request. You may want to save a copy of this notice for your records.