



HURLEY CAPITAL, LLC
PRIVACY POLICY

Pursuant to applicable federal and/or state privacy regulations, Hurley Capital, LLC (referred to as “Hurley Capital”) is a financial institution that has determined to keep confidential nonpublic personal information about each Hurley Capital client.

Nonpublic personal information is defined to mean personally identifiable financial information that is provided by a consumer to a financial institution, results from any transaction with the consumer or any service performed for the consumer, or is otherwise obtained by the financial institution.

Personally identifiable financial information means any information: (1) a consumer provides to a financial institution to obtain a financial product or service; (2) about a consumer resulting from any transaction involving a financial product or service between a financial institution and a consumer; or (3) a financial institution otherwise obtains about a consumer in connection with providing a financial product or service to that consumer.

Attached hereto and made a part hereof is a copy of Hurley Capital’s *Privacy Notice* that is to be distributed by Hurley Capital: (1) initially: (a) to each existing Hurley Capital client; and (b) to each new client prior to or at the time of establishing a “customer relationship” with Hurley Capital; and (2) annually thereafter for as long as the client maintains its relationship with Hurley Capital (however, per the SEC, unless there are material changes, Hurley Capital is no longer required to provide the *Privacy Notice* annually. Hurley Capital may determine to cease providing the *Privacy Notice* on an annual basis).

The purpose of Hurley Capital’s *Privacy Notice*, *Privacy Policy* as well as its underlying procedures is to protect the confidentiality and security of its clients’ *nonpublic personal information*. The categories of nonpublic personal information that Hurley Capital collects from a client depend upon the scope of the client engagement. It may include information about the client’s personal finances, information about the client’s health to the extent that it is needed for the planning process, information about transactions between the client and third parties, and information from consumer reporting agencies. Hurley Capital has instituted certain technical, administrative and physical safeguards through which Hurley Capital seeks to protect this *nonpublic personal information* about current and former clients from unauthorized use and access. First, technical procedures are used in order to limit the accessibility and exposure of client information contained in electronic form. Second, administrative procedures are used in order to control the number and type of employees, affiliated and nonaffiliated persons, to whom customer information is accessible. Third, physical safeguards have been established to prevent access to client information contained in hard-copy form. As

illustrated above, Hurley Capital realizes the importance of information confidentiality and security, and emphasizes practices which are aimed at achieving those goals.

By executing this document in the space provided below, you acknowledge, understand, and accept: (1) your obligation to comply with Hurley Capital's *Privacy Policy* as set forth on the attached *Privacy Notice*; (2) that your knowing or reckless violation of this *Privacy Policy* will result in discipline by Hurley Capital, including the potential termination of your employment; and (3) that if you have any question(s) regarding any aspect of the *Privacy Policy*, including exceptions thereto, you shall immediately address such question(s) with Charles Goldblum, Chief Compliance Officer, prior to taking any action that could result in the violation of the *Privacy Policy*. A complete copy of the applicable federal and/or state privacy regulations is available for your review upon request.

Dated: _____

*** to be executed by Hurley Capital employees, representatives, affiliates and subcontractors.**