

## WALNUT INVESTMENT SERVICES LLC WEBSITE DISCLOSURE AND PRIVACY NOTICE

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Viewing or utilizing information on this website, or contacting or responding to our offices or advisers does not create an advisory relationship of any kind. A advisory relationship can be established only after our thorough review with you of all the relevant facts pertaining to a potential engagement and the execution of a written advisory agreement.

### PRIVACY NOTICE

Walnut Investment Services values the trust our clients have placed in us and are committed to the responsible management, use, and protection of their personal information.

#### Information We Collect From You:

Walnut Investment Services LLC collects personal information about its clients to help it serve their financial needs, process transactions in their account(s), provide customer service, offer investment services, and fulfill legal and regulatory requirements. Walnut Investment Services LLC collects information about its customers from the following sources: • information provided to us, or our investment advisor representatives by our clients (such as on account applications and related forms, in discussions with our employees and advisor representatives, or through our website). • information gathered from our internal files regarding the customer’s transaction history with us (such as products or services purchased, account balances, trading history, and payment history), as well as that provided by information service companies and consumer reporting agencies (such as transactions or credit relationships with unaffiliated third parties). • information provided by other unaffiliated third parties, including employers, associations, retirement plan benefit sponsors, and other institutions, if the customer transfers positions or funds to us. This information may include “nonpublic, personal information,” which means information that is not readily known or accessible in the public realm, such as the customer’s social security number, birth date, net worth, assets, income, as well as the fact that the customer has an account with us.

#### Sharing Information Pursuant to Federal Law:

Walnut Investment Services LLC may not disclose a customer's nonpublic personal information without his/her prior consent, unless the disclosure is needed to: • provide the services requested by the client, including: clearing, transferring, confirming, or reconciling transactions in the client's account(s); and providing statements or other records regarding the status or value of the clients' account(s); provide the client with marketing materials regarding our services, as well as those offered pursuant to joint agreements with our affiliates or non-affiliated third parties, so long as all parties offering the products and/or services have agreed, in writing, to protect the confidentiality of the client's information and to not use it for any other purpose; • enforce any of our rights, including the collection of any fees or other payments due; • provide any of our affiliates with information regarding our operations, or as reasonably required pursuant to the proposed or actual sale, merger, transfer, or exchange of all, or a portion of, our business; • comply with the request or requirements of regulatory and/or law enforcement organizations; • respond to a subpoena or discovery request; • provide disclosures as otherwise permitted or required by law. We may provide such information to our affiliates and/or unaffiliated financial or non-financial services providers (such as insurance companies, mutual fund companies, banks, investment firms, third-party administrators, clearing firms, and other third parties who assist us in providing account maintenance or customer service) as necessary pursuant to the exceptions listed above. We do not sell, share, or disclose your nonpublic personal information to any unaffiliated third-party marketing companies.

#### Opting Out:

Clients may request that we not disclose their nonpublic, personal information for any reason - other than one of the exceptions listed above. To request that we not disclose your information for this or any purpose (other than those covered under the exceptions listed under "Sharing Information," above), please call us at (718) 788-1972.

#### Safeguarding Information:

Walnut Investment Services LLC recognizes the need to prevent unauthorized access to the information we collect, including information held in electronic format. We authorize access to your nonpublic personal information only to personnel who need that information to serve you. We maintain physical, electronic, and procedural safeguards regarding your nonpublic, personal information to ensure that we comply with our own policy, industry practices, and federal and state regulations. If you decide to close your account(s) or become an inactive customer, we will adhere to the privacy policies and practices as described in this notice.