



## PRIVACY NOTICE FOR CALIFORNIA CONSUMERS

Last updated: August 20, 2021

The California Consumer Privacy Act (“CCPA”) imposes certain obligations on ICONIQ Capital, LLC (collectively, “ICONIQ”, “we”, “our” or “us”) and grants certain rights to California Residents (“California Resident,” “you” or “your”) with regard to “personal information.” This Privacy Notice for California Consumers (“California Privacy Notice”) contains disclosures required by the CCPA, including our notice at collection and information surrounding how and why we collect, use, disclose and share personal information and your potential rights under the CCPA. This California Privacy Notice is only relevant to residents of California, and applies only to the collection or other use of “personal information” that is subject to the CCPA. Terms used herein have the meaning ascribed to them in the CCPA. The rights described herein are subject to exemptions and other limitations under applicable law.

### **Notice at Collection and Use of Personal Information**

**Information We Collect.** Depending on how you interact with us we may collect the following categories of personal information from or about you, including:

<b>Category</b>	<b>Examples</b>
Identifiers	A real name, alias, email address, postal address, Internet Protocol (IP) address, account name, Social Security number, driver’s license number, passport number, or other similar personal identifiers.
Other personal information categories, as listed in the California Customer Records statute (Cal. Civ. Code § 1798.80(e))	A signature, physical characteristics or description, telephone number, insurance policy number, education, employment, employment history, bank account number, credit card number, debit card number, or any other financial information, medical information, or health insurance information.
Protected classification characteristics under California or federal law	Age (40 years or older), race, citizenship, marital status, sex, veteran or military status.
Commercial information	Account activity, records of personal property, products or services purchased, obtained, or considered, or other purchasing or consuming histories or tendencies.

Professional or employment-related information	Current or past job history or performance evaluations.
Inferences drawn from other personal information	Profile reflecting a person’s preferences, characteristics, psychological trends, predispositions, behavior, attitudes, intelligence, abilities, and aptitudes.

**Use of Collected Personal Information.** We may use the personal information we collect for one or more of the following business or commercial purposes:

- Providing you with information about our products and services;
- Providing performance and other updates;
- One or more of the following business purposes:
  - Performing services (for us or our or your service providers) such as account servicing, processing orders and payments, and analytics;
  - Auditing related to our interactions with you;
  - Legal compliance;
  - Detecting and protecting against security incidents, fraud, and illegal activity;
  - Internal research for technological improvement;
  - Internal operations;
  - Activities to maintain and improve our services; and
  - Short-term, transient use, provided that the personal information is not disclosed to another third party and is not used to build a profile about a consumer.
- Other commercial purposes, including, but not limited to activities that are undertaken to advance, enable or effect potential commercial transactions.

For more information about our privacy practices, please review our entire California Privacy Notice, which is available at the top of this page.

**Our Collection, Use, Disclosure, and Sharing of Personal Information**

**Information We Have Collected.** In the preceding 12 months, and depending on how you interact with us, we may have collected the categories of personal information listed above in “Information We Collect.”

**Sources of Personal Information.** We collect personal information from the following categories of sources:

- Your communications with us and our service providers, including account applications, subscription agreements, and other forms or related documentation;
- Your and our service providers, including but not limited to: administrators, custodians, brokers, auditors, law firms, accountants, consultants, employment agencies, credit bureaus, other financial institutions;
- Our affiliates or our affiliates’ service providers;

- Your employer and your employer’s service providers; and
- Government entities and other publicly available directories and sources.

**Purposes for Collecting and Using Personal Information.** We may collect your personal information for the business or commercial purposes described above in “Use of Collected Personal Information.”<sup>1</sup>

**Our Disclosure and Sharing of Personal Information.** We do not sell your personal information. We do not knowingly sell the personal information of California Residents under 16 years old. In the preceding 12 months, we may have disclosed for a business purpose the following categories of personal information to the following categories of third parties, as described in the following chart:

<b>Category of Personal Information</b>	<b>Category of Third Party</b>
Identifiers	<ul style="list-style-type: none"> <li>• Counterparties and intermediaries in connection with investments and transactions or for operational purposes.</li> <li>• Third parties as needed to complete a transaction, including entities that assist with fraud prevention, detection and mitigation, financial institutions or lenders to or creditors of a fund.</li> </ul>
Other personal information categories, as listed in the California Customer Records statute (Cal. Civ. Code § 1798.80(e))	<ul style="list-style-type: none"> <li>• Affiliated entities.</li> <li>• Your employer and your employer’s service providers.</li> <li>• Business partners.</li> <li>• Technical service providers</li> <li>• Analytics providers</li> </ul>
Protected classification characteristics under California or federal law	<ul style="list-style-type: none"> <li>• Counterparties and intermediaries in connection with investments and transactions or for operational purposes.</li> <li>• Third parties as needed to complete a transaction, including entities that assist with fraud prevention, detection and mitigation, financial institutions or lenders to or creditors of a fund.</li> </ul>
Professional or employment-related information	<ul style="list-style-type: none"> <li>• Affiliated entities.</li> <li>• Your employer and your employer’s service providers.</li> </ul>
Commercial information	<ul style="list-style-type: none"> <li>• Counterparties and intermediaries in connection with investments and transactions or for operational purposes.</li> </ul>

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<sup>1</sup> Note to ICONIQ: If possible we recommend hyperlinking to the cross-referenced section here.

Inferences drawn from other personal information	<ul style="list-style-type: none"> <li>• Third parties as needed to complete a transaction, including entities that assist with fraud prevention, detection and mitigation, financial institutions or lenders to or creditors of a fund.</li> <li>• Affiliated entities</li> <li>• Technical service providers</li> <li>• Analytics providers</li> </ul>
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In addition, in the preceding 12 months, we may have disclosed for a business purpose all of the categories of personal information identified above in the section, “Information We Collect,” to the following categories of third parties: (i) judicial courts, regulators, or other government agents purporting to have jurisdiction over us, our subsidiaries or our affiliates, or opposing counsel and parties to litigation; and (ii) other third parties as may otherwise be permitted by law.

We may disclose your personal information to our service providers such as our fund administrator, CRM provider, IT providers, or email providers, other entities that have agreed to limitations on the use of your personal information, or entities that fit within other exemptions or exceptions in or as otherwise permitted by the CCPA. We also may disclose personal information about you or your accounts to a third party at your request or direction or with your consent.

**Rights of California Consumers.** The CCPA provides California consumers the following rights, subject to certain exceptions and limitations:

- *Be Informed.* To be informed, at or before the point of collection, of the categories of personal information to be collected and the purposes for which the categories of personal information shall be used.
- *Request to Know.* The right to request (a) the categories and specific pieces of personal information we collect, use, disclose, and sell about you, (b) the categories of sources from which we collected your personal information, (c) our purposes for collecting or selling your personal information, (d) the categories of your personal information (if any) that we have either sold or disclosed for a business purpose, and (e) the categories of third parties with which we have shared personal information;
- *Request to Delete.* Request that we delete the personal information we have collected from you or maintain about you (subject to certain exceptions);
- *Opt-Out of Sale.* Request that we do not “sell”(as that term is defined in the CCPA) your personal information; (we do not); and
- *Not to Be Discriminated Against.* Not to receive discriminatory treatment for the exercise of the privacy rights conferred by the CCPA.

The CCPA does not restrict our ability to do certain things like comply with other laws or comply with regulatory investigations. In addition, the CCPA does not apply to certain information like personal information collected, processed, sold or disclosed pursuant to the federal Gramm-Leach-Bliley Act and its implementing regulations.

**Shine the Light.** For certain categories of personal information, the right to request a list of what personal information (if any) we disclosed to third parties for their own direct marketing purposes in the past 12 months and the names and addresses of those third parties.

**How to Submit a Request.** You may submit requests relating to your exercise of rights under the CCPA or other applicable California law to us:

- via phone (855) 636-4357; or
- email [CCPAinquiries@iconiqcapital.com](mailto:CCPAinquiries@iconiqcapital.com).

**Verifying Requests.** We are required to provide certain information or to delete personal information only in response to verifiable requests made by you or your legally authorized agent. When you submit a Request to Know or Request to Delete, we may ask that you provide clarifying or identifying information to verify your request, which may include, depending on the sensitivity of the information you are requesting and the type of request you are making, your name and email address. Any information gathered as part of the verification process will be used for verification purposes only.

**Authorized Agents.** You are permitted to designate an authorized agent to submit a Request to Know or a Request to Delete on your behalf and have that authorized agent submit the request through the aforementioned methods. In order to be able to act, authorized agents have to submit proof that they are authorized to act on your behalf, or have a power of attorney. We may also require that you directly verify your own identity with us and directly confirm with us that you provided the authorized agent permission to submit the request.

**Contact for More Information.** If you have any questions or concerns about this California Privacy Notice, please contact us at:

- Phone: (415)-967-7763
- Post: ICONIQ Capital, 394 Pacific Ave., 2nd Floor, San Francisco, CA 94111
- Email: [legal@iconiqcapital.com](mailto:legal@iconiqcapital.com)