

### **California Privacy Policy of Futures & Options Execution**

This notice (this “[California Privacy Notice](#)”) supplements the general Privacy Policy (“Privacy Policy”) of Futures & Options Execution, LLC (“FOX” or “we” or “us”) with respect to specific rights granted under the California Consumer Privacy Act of 2018, as amended, and the California Privacy Rights Act of 2020, as amended (collectively, “California Privacy Acts”), to natural person California residents and provides information regarding how such California residents can exercise their rights under the California Privacy Acts. This California Privacy Notice is only relevant to you if you are a resident of California as determined in accordance with the California Privacy Acts. Information required to be disclosed to California residents under the California Privacy Acts regarding the collection of their personal information that is not set forth in this California Privacy Notice is otherwise set forth in the Privacy Policy.

- ***Categories of Personal Information We Collect:***

We may collect or, within the last twelve (12) months, may have collected some or all of the following categories of personal information from individuals:

Category	Examples	Collected
A. Identifiers	Name, contact details and address (including physical address, email address and Internet Protocol address), and other identification (including social security number, passport number and drivers’ license or state identification card number).	YES
B. Personal information categories listed in the California Customer Records statute (Cal. Civ. Code § 1798.80)(e))	Telephone number, signature, bank account number, other financial information (including accounts and transactions with other institutions and anti-money laundering information), and verification documentation and information regarding investors’ status under various laws and regulations (including social security number, tax status, income and assets).	YES
C. Protected classification characteristics under California or federal law	Date of birth, citizenship and birthplace.	YES
D. Commercial information	Account data and other information contained in any document provided by investors to authorized service providers (whether	YES

	directly or indirectly), risk tolerance, transaction history, investment experience and investment activity, information regarding a potential and/or actual investment in the applicable fund(s), including ownership percentage, capital investment, income and losses, source of funds used to make the investment in the applicable fund(s).	
E. Biometric Information	Imagery of the iris, retina, fingerprint, face, hand, palm, vein patterns and voice recordings or keystroke patterns or rhythms, gait patterns or rhythms, and sleep, health, or exercise data that contains identifying information.	NO
F. Internet or other similar network activity	Use of our website, fund data room and investor reporting portal (e.g., cookies, browsing history and/or search history), as well as information you provide to us when you correspond with us in relation to inquiries.	YES
G. Geolocation data	Physical location or movements.	YES
H. Sensory data	Audio, electronic, visual, thermal, olfactory, or similar information.	NO
I. Professional or employment-related information	Current or past job history or performance evaluations.	YES
J. Non-public education information (per the Family Educational Rights and Privacy Act (20 U.S.C. Section 1232g, 34 C.F.R. Part 99))	Education records directly related to a student maintained by an educational institution or party acting on its behalf, such as grades, transcripts, class lists, student schedules, student identification codes, student financial information, or student disciplinary records.	NO
K. Inferences drawn from other	Profile reflecting a person's preferences, characteristics, psychological trends, predispositions, behavior, attitudes, intelligence, abilities, and aptitudes.	NO

personal information		
L. Sensitive Personal Information	Social security, driver's license, state identification card, or passport numbers; account log-in, financial account, debit card, or credit card number in combination with any required security or access code, password, or credentials allowing access to an account; precise geolocation; racial or ethnic origin; religious or philosophical beliefs; union membership; genetic data; contents of mail, email, and text messages unless directed at us; biometric information for the purpose of uniquely identifying a consumer; and personal information collected and analyzed concerning a consumer's health, sex life, or sexual orientation.	YES, as to the following types of information: social security, driver's license, state identification card, or passport numbers, account log-in, financial account in combination with any required security or access code password, or credentials allowing access to an account only.

We do not collect or use sensitive personal information other than:

- To perform services, or provide goods, as would reasonably be expected by an average consumer who requests those goods or services;
- As reasonably necessary and proportionate to detect security incidents that compromise the availability, authenticity, integrity, and confidentiality of stored or transmitted personal information;
- As reasonably necessary and proportionate to resist malicious, deceptive, fraudulent, or illegal actions directed at us and to prosecute those responsible for such actions;
- As reasonably necessary and proportionate to ensure the physical safety of natural persons;

- For short-term, transient use (but not in a manner that discloses such information to another third-party or is used to build a profile of you or otherwise alter your experience outside of your current interaction with us); and
- To perform services on behalf of our business.
- ***Purposes for Collecting Personal Information***

We may collect or disclose the personal information we collect about you for us to provide you with our services. We collect personal information from the sources set forth in “Collection of Information” in the Privacy Notice. We retain the personal information set forth above in “Categories of Personal Information We Collect” section of this California Privacy Notice for only as long as is reasonably necessary for those purposes set forth above, except as may be required under applicable law, court order or government regulations.

- ***Disclosure of Information***

We do not sell or share for the process of cross-contextual behavioral advertising (as such terms are defined in the California Privacy Acts) any of the personal information we collect about you to third parties. In the preceding twelve (12) months, we have not sold or shared for the process of cross-contextual behavioral advertising any of the personal information we collect about you to third parties. We do not disclose any personal information about you to anyone, except as permitted or required by law or regulation.

Within the last twelve (12) months, we have disclosed personal information collected from you for a business purpose to the categories of third parties indicated in the chart below. We may also disclose your information to other parties as may be required by law or regulation, or in response to regulatory inquiries.

<b>Personal Information Category</b>	<b>Category of Third-Party Recipients</b>
A. Identifiers	vendors and service providers
B. Personal information categories listed in the California Customer Records statute (Cal. Civ. Code § 1798.80((e))	vendors and service providers
C. Protected classification characteristics under	vendors and service providers

California or federal law	
D. Commercial information	vendors and service providers
E. Biometric information	NO
F. Internet or other similar network activity	vendors and service providers
G. Geolocation data	YES
H. Sensory data	NO
I. Professional or employment-related information	vendors and service providers
J. Non-public education information (per the Family Educational Rights and Privacy Act (20 U.S.C. Section 1232g, 34 C.F.R. Part 99))	NO
K. Inferences drawn from other personal information	vendors and service providers
L. Sensitive Personal Information (see further information on use of sensitive personal information below)	vendors and service providers

- ***Deletion Rights***

You have the right to request that we delete any of your personal information that we retain, subject to certain exceptions, including, but not limited to, our compliance with U.S., state, local and non-U.S. laws,

rules and regulations. We will notify you in writing if we cannot comply with a specific request and will provide an explanation of the reasons.

- ***Disclosure and Access Rights***

You have the right to request that we disclose to you certain information regarding our collection, use, disclosure and sale of personal information specific to you over the last twelve (12) months. Such information includes:

- The categories of personal information we collected about you;
- The categories of sources from which the personal information is collected;
- Our business or commercial purpose for collecting such personal information;
- Categories of third parties to whom we disclose the personal information;
- The specific pieces of personal information we have collected about you; and
- Whether we disclosed your personal information to a third-party, and if so, the categories of personal information that each recipient obtained.

- ***Correction Right***

You have the right to request that we correct any inaccuracies in the personal information that we retain, subject to certain statutory exceptions, including our compliance with U.S., state, local and non-U.S. laws, rules and regulations. We will notify you in writing if we cannot comply with a specific request and provide an explanation of the reasons.

- ***No Discrimination***

We will not discriminate against you for exercising your rights under the California Privacy Acts, including by denying service, suggesting that you will receive, or charging, different rates for services or suggesting that you will receive, or providing, a different level or quality of service to you.

- ***How to Exercise Your Rights***

To exercise any of your rights under the California Privacy Acts, ask any questions or communicate any concerns regarding this California Privacy Notice, or access this California Privacy Notice in an alternative format, please submit a request on your behalf by contacting us at:

Futures & Options Execution, LLC  
d/b/a The FOX Group  
141 West Jackson Boulevard | Suite 1535  
Chicago, IL 60604  
(312) 756-0945  
[info@tradewithfox.com](mailto:info@tradewithfox.com)

Within ten (10) business days following receipt of your request, we will contact you to confirm receipt of your request under the California Privacy Acts and request any additional information necessary to verify your request. We verify requests by matching information provided in connection with your request to information contained in our records. Depending on the sensitivity of the request and the varying levels of risk in responding to such requests (for example, the risk of responding to fraudulent or malicious requests), we may request additional information in order to verify your request.

You may designate an authorized agent to make a request under the California Privacy Acts on your behalf, provided you furnish an authorization signed by you and such authorized agent confirming authority to make requests on your behalf and verify such authorized agent's identity.

If we request that you verify your request and we do not receive your response, we will pause processing your request until such verification is received.