



IV Lions LLC Notice of Privacy Practices

Your privacy is very important to IV Lions LLC (“IV Lions”). This Notice of Privacy Practices (“Notice”) provides information about the personal information that IV Lions collects from its clients (“Client Information”) in order to provide investment advisory services (“Services”), how we may use and disclose Client Information, and the measures we take to safeguard that Client Information.

Collecting Client Information

In order to provide our Services to you, IV Lions may collect non-public personally identifiable Client Information about you through the following ways:

- IV Lions may collect your name, home address, social security number, family and marital status, investment objectives, financial goals, risk tolerance, and information about your income, assets, investments, liabilities, expenses and personal financial transactions.
- IV Lions may collect trading and transaction history for your investment advisory account, and statements or records we receive from tax firms, investment firms, and other professionals that you have retained and authorized to provide information directly to us.
- IV Lions may collect and use the following kinds of personal information such as:
 - I. information about your use of our website www.IVLions.com (the “Website”);
 - II. information that you provide for the purpose of registering with the Website;
 - III. information that you provide for the purpose of subscribing to the Website Services;
 - IV. information that you provide about your credit card and expiration date;
 - V. information that you provide when you enter a Client Advisory Agreement; and
 - VI. any other information that you send to IV Lions.

If you must submit Client Information of a highly sensitive or personal nature to us, please call first. Depending on the Client Information involved, the Client Information can be transmitted to us via voice, fax, USPS, or gathered in person.

Using and Disclosing Client Information

IV Lions will collect Client Information from you for the following purposes:

- To identify and review your financial and lifestyle objectives to enable the delivery of the Services;
- To administer the Website, personalize the Website for you, enable your access to and use of the Website Services, supply to you the Services of IV Lions; send to you marketing communications; and
- To fulfill legal and regulatory requirements.



In order to provide the Services that you have requested, authorized and/or subscribed to or to maintain and serve your investment advisory account, we may disclose Client Information to non-affiliated companies that perform services for us (“Service Providers”), such as companies that provide transaction processing or performance reports, statements of account or credit card processing (for instance Paypal). IV Lions requires all Service Providers to have their own privacy practices in place to safeguard Client Information.

IV Lions may also disclose Client Information to its Contractor to enable us to provide the Services. The Contractor will be obligated to use that Client Information in accordance with the terms of this Notice and pursuant to the Consulting Services Agreement between IV Lions and the Contractor. The Consulting Services Agreement contains provisions that the Contractor will hold Client Information in strict confidence and not disclose to any third party or use Client Information, except in connection with the provision of the Contractor’s services to IV Lions.

IV Lions does not sell, trade, or otherwise transfer to outside parties Client Information. This does not include trusted third parties who assist IV Lions in operating our Website, conducting our business, or servicing Clients, as long as those parties agree to keep such Client Information confidential.

IV Lions may disclose Client Information for other purposes required or permitted by law which may include the following:

- To comply with a court order, legal process, or other judicial or investigative proceeding that produces a request for information from us or in order to establish, exercise or defend our legal rights;
- To fulfill or respond to a request from you or your authorized representative;
- To permit auditing of account information; and
- As otherwise described in this Notice.

The Client Information you provide and any recommendations made will be kept on file. You are entitled to request reasonable access to any Client Information held about you.

Protecting Client Information

All IV Lions employees and its Contractor are bound by codes of professional conduct, to protect the confidentiality of Client Information, and to prevent unauthorized use, access to, or disclosure of Client Information. The use of, and access to Client Information is restricted to those employees and the Contractor who need to know that Client Information to provide Services to you. IV Lions maintains commercially reasonable physical, technical and organizational precautions to protect Client Information from unauthorized access and disclosure.



Cross-border Data Transfers

Client Information that IV Lions collects may be stored and processed in and transferred between the United States and the United Kingdom to enable the use of Client Information and the provision of the Services in accordance with this Notice. You agree to such cross-border transfers of Client Information.

Former Clients

If you choose to terminate the Services, we will adhere to this Notice with respect to your Client Information.

Delivery of Notice

IV Lions will provide a copy of its Notice of Privacy Practices to:

- Prospective clients interested in the Services;
- New Clients upon signing the Client Advisory Agreement;
- New Clients upon subscribing via the Website (having accepted the terms and conditions of the Client Advisory Agreement) to receive the Services; and
- All Clients on an annual basis, until the client terminates the Services.

Your Consent

By using the Website and/or becoming a Client of IV Lions, you acknowledge that you have reviewed and agree to the terms of this Notice of Privacy Practices.

Website Terms of Use

Please also visit IV Lions “Website Terms of Use” which sets out the use, disclaimers, and limitations of liability governing the use of our Website at www.IVLions.com.

Opt-out

We comply with the federal CAN-SPAM Act. If you no longer wish to receive our newsletter or email correspondence, you may opt-out of receiving it by unsubscribing. Please refer to the “Contact Us” section for details.

Updating this Statement

IV Lions may update this Notice of Privacy Practices by posting a new version on the Website.

You should check this page occasionally to ensure you are familiar with any changes.



Other Websites

The Website may contain links to other websites.

IV Lions is not responsible for the privacy policies or practices of any third party.

Contact Us

If you have any questions about this Notice of Privacy Practices or IV Lions' treatment of Client Information, you can contact us by mail, courier, telephone, e-mail or fax at:

IV Lions LLC
180 Harbor Drive, 180 Harbor Drive, Suite 216, Sausalito, CA, 94965

Telephone: 415 332 1087
Fax: 415 992 8434
Email: info@IVLions.com

This Notice of Privacy Practices applies to individual Clients who receive the Services provided by IV Lions LLC, a Registered Investment Advisor registered with the State of California.

About this Privacy Statement

A legal template was used as the basis for this Notice of Privacy Practices. Whilst we have amended the original template, we would like to acknowledge the following:

This privacy statement is based on a Contractology template available at www.freenetlaw.com. Contractology supply a range of commercial legal documentation via its website, including web hosting terms and conditions templates.