

FACTS**WHAT DOES ROCKEFELLER CAPITAL MANAGEMENT DO WITH YOUR PERSONAL INFORMATION?**

Why?	Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.		
What?	The types of personal information we collect and share depend on the product or service you have with us. This information can include: <ul style="list-style-type: none"> ▪ Social Security number and income ▪ Assets and investment experience ▪ Account balances and transaction history 		
How?	All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' personal information; the reasons Rockefeller Capital Management chooses to share; and whether you can limit this sharing.		
	Reasons we can share your information	Does Rockefeller Capital Management share?	
	Can you limit this sharing?		
	For our everyday business purposes— such as to process your transactions, maintain your account(s), or respond to court orders and legal investigations	Yes	No
	For our marketing purposes— to offer our products and services to you	Yes	No
	For joint marketing with other financial companies	No	We don't share
	For our affiliates' everyday business purposes— information about your transactions and experiences	Yes	No
	For our affiliates' everyday business purposes— information about your creditworthiness	No	We don't share
	For our affiliates to market to you	No	We don't share
	For nonaffiliates to market to you	No	We don't share
Questions?	Call toll free 1-888-732-4525		

Who we are

Who is providing this notice?

Rockefeller Financial LLC, Rockefeller & Co. LLC, Rockefeller Strategic Services, LLC, Rockefeller Capital Management Insurance Services LLC, Rockefeller Trust Company, N.A., and The Rockefeller Trust Company (Delaware), dedicated to providing you the products and services of Rockefeller Global Family Office and Rockefeller Capital Management.

What we do

How does Rockefeller Capital Management protect my personal information?

To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.

How does Rockefeller Capital Management collect my personal information?

We collect your personal information, for example, when you

- open an account or give us your contact information
- direct us to buy securities or seek advice about your investments
- tell us about your investment or retirement portfolio

We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.

Why can't I limit all sharing?

Federal law gives you the right to limit only

- sharing for affiliates' everyday business purposes—information about your creditworthiness
- affiliates from using your information to market to you
- sharing for nonaffiliates to market to you

State laws and individual companies may give you additional rights to limit sharing. See below for more on your rights under state law.

Definitions

Affiliates

Companies related by common ownership or control. They can be financial and nonfinancial companies.

- *Our affiliates include entities with the "Rockefeller" name, such as Rockefeller Asset Management.*

Nonaffiliates

Companies not related by common ownership or control. They can be financial and nonfinancial companies.

- *Rockefeller Capital Management does not share with nonaffiliates so they can market to you, but can share information as permitted by law.*

Joint marketing

A formal agreement between nonaffiliated financial companies that together market financial products or services to you.

- *Rockefeller Capital Management doesn't jointly market.*

Other important information

For additional information about our privacy practices, please visit: <https://rcm.rockco.com/privacy-policy>.

California: In accordance with California law, we will not share information we collect about California residents with nonaffiliates, unless the law allows. For example, we may share information with your consent or to service your accounts. We will limit sharing among our companies to the extent required by California law.

Vermont: We will not disclose information about your creditworthiness to our affiliates and will not disclose your personal information, financial information, credit report, or health information to nonaffiliated third parties to market to you, other than as permitted by Vermont law, unless you authorize us to make those disclosures.