

Ridgeback Capital Management

PRIVACY PLEDGE AND NOTIFICATION

Ridgeback Capital Management respects your right to privacy. We have always been committed to the confidentiality and integrity of your personal information. We are proud of our privacy practices and want our current and prospective customers to understand what information we collect and how we use it.

Why We Collect Your Information

We gather information about you and your accounts so that we can (i) be familiar enough with you to negate the potential for unauthorized access to your information, (ii) design and improve the products and services we offer and (iii) comply with the laws and regulations that govern us.

What Information We Collect

We may collect the following types of 'nonpublic personal information' about you:

- Information about your identity, such as your name, address and social security number;
- Information about your transactions with us;
- Information we receive from you on applications, such as your beneficiaries or income.

Sources From Which We Obtain Information

We collect nonpublic personal information about Ridgeback Capital Management clients such as yourself from the following sources:

- Applications or other forms submitted by yourself; and
- Your transactions with us and our affiliates.

What Information We Disclose

We do not disclose any nonpublic personal information about our customers or former customers to anyone, except as required in our capacity as your agent, and as permitted by law. Moreover, we will not release information about our customers or former customers unless one of the following conditions is met:

- We receive your prior written consent.
- We believe the recipient to be you or your authorized representative.
- We are required by law to release information to the recipient.

We only use information about you and your account to help us better serve your investment desires or to suggest services or educational materials that may be of interest to you.

Confidentiality And Security

We maintain physical, electronic and procedural safeguards to guard your personal account information. We also restrict access to your personal and financial data to authorized Ridgeback Capital Management associates charged with the administration of these records. We require all nonaffiliated organizations to conform to our privacy standards and are contractually obligated to keep the information provided confidential, to be used only as requested by the client. Furthermore, we will continue to adhere to the privacy policies and practices described in this notice even after your account is closed or becomes inactive.

We will continue to conduct our business in a manner that conforms with our pledge to you, your expectations and all applicable laws.

If you have questions about our privacy policy, or would like a copy of Ridgeback's Form ADV, Part 2 and Schedule F Disclosure Document, please let us know by e-mailing ldzik@ridgebackcm.com, calling 713-667-4026 or by writing to Ridgeback Capital Management, 6750 West Loop South, Suite 235 Bellaire, Texas 77401.