

FACTS WHAT DOES ROTHMAN INVESTMENT MANAGEMENT, LLC 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:

- Identifying information, such as Social Security number and date of birth
- Financial information, including account numbers, balances, transaction history, assets, income, and sources of income
- Investment information, including investment experience and financial goals
- Contact information, including mailing address, email address, and telephone number

When you are no longer our customer, we may continue to share your information only as described in this notice.

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 Rothman Investment Management, LLC chooses to share; and whether you can limit this sharing.

We may also share information with your consent or at your direction.

Reasons we share your personal information	Does Rothman Investment Management, LLC share?	Can you limit this sharing?
For our everyday business purposes — such as to process your transactions, maintain your account(s), respond to court orders, legal investigations, and regulatory requests	Yes	No
For our marketing purposes — to offer our products and services to you	No	No
For joint marketing with other financial companies	No	No
For our affiliates’ everyday business purposes — information about your transactions and experiences	No	No
For our affiliates’ everyday business purposes — information about your creditworthiness	No	No
For our affiliates to market to you using your contact information (mobile number, email address)	No	No
For nonaffiliates to market to you	No	No

Questions? Call (307) 752-0759 or go to www.rothmaninvest.com

Who we are

Who is providing this notice?	Rothman Investment Management, LLC
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What we do

<p>How does Rothman Investment Management, LLC protect my personal information?</p>	<p>To protect your personal information from unauthorized access and use, we use security measures that comply with federal and state law. These measures include computer safeguards and secured files and buildings.</p> <p>Access to personal information is limited to individuals who require such access to perform their professional responsibilities, and information is shared only as permitted or required by federal and state law.</p>
<p>How does Rothman Investment Management, LLC collect my personal information?</p>	<p>We collect your personal information, for example, when you open an account, solicit our services, or provide information to us in connection with advisory services.</p>
<p>Why can't I limit all sharing?</p>	<p>Federal law gives you the right to limit only</p> <ul style="list-style-type: none"> • 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 <p>State laws and individual companies may give you additional rights to limit sharing.</p> <p>Rothman Investment Management, LLC does not share personal information in ways that require an opt-out under federal privacy laws.</p>

Definitions

<p>Affiliates</p>	<p>Companies related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> • Rothman Investment Management, LLC has no affiliates
<p>Nonaffiliates</p>	<p>Companies not related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> • Rothman Investment Management, LLC does not share with nonaffiliates so they can market to you.
<p>Joint marketing</p>	<p>A formal agreement between nonaffiliated financial companies that together market financial products or services to you.</p> <ul style="list-style-type: none"> • Rothman Investment Management, LLC does not jointly market

Other Important Information

This Privacy Notice applies to current and former clients of Rothman Investment Management, LLC. State laws may provide you with additional privacy protections or rights beyond those described in this notice. This notice may be delivered electronically or made available on our website. Rothman Investment Management, LLC does not maintain custody of client funds or securities.