

Facts

*What does
CAZ Investments
do with my Personal Information?*

WHY?

CAZ Investments gathers information about you and your accounts so that we can:

- know who you are and, thereby, prevent unauthorized access to your information;
- design and improve the products and services we offer; and
- comply with laws and regulations that govern us.

WHAT?

The types of personal information we collect and share depend on the product or service you have with us.

This information can include:

- Identity information such as name, address, and social security number;
- investment account balances and trading activity with us; and
- other information collected on applications such as beneficiaries or annual income data.

HOW?

All financial companies need to share clients' information to run their everyday business, to process transactions, maintain client accounts, and report to brokerage/custodian firms and regulators. In this brochure, we list the reasons we can share personal information and whether you can limit this sharing.

Our Pledge of Privacy to You

CAZ Investments LP maintains physical, electronic, and procedural safeguards to protect your personal and account information. We restrict access to your personal and financial data to authorized CAZ Investments' and affiliates' associates who have a need for this information and these records.

We are contractually obligated to keep the information provided to us confidential and used as requested and we require non-affiliated companies to conform to our privacy standards as well. Importantly, we will continue to adhere to the privacy policies and practices described in this notice even after your account is closed or becomes inactive with us.

We are committed to conducting our business in a manner that conforms with our pledge to you, with your expectations, and with all applicable laws.

For more information, please contact us.

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CAZ INVESTMENTS

A Wealth Management Firm



Privacy Pledge & Notification

GENERAL STATEMENT OF OUR POLICY

CAZ Investments LP respects your right to privacy. We are committed to securing the confidentiality and integrity of your personal information. We are proud of our privacy practices and want our current and prospective clients to understand what information we collect and how we use it.

Reasons We Share

Do we share? *Can you limit this sharing?*

FOR EVERYDAY BUSINESS PURPOSES -

To process your transactions, maintain your accounts, and report to custodians and regulators.



Yes



No

FOR OUR MARKETING PURPOSES -

To offer our products and services to you.



Yes



No

FOR OUR AFFILIATES TO MARKET TO YOU -



Yes



Yes

FOR NON-AFFILIATES TO MARKET TO YOU -



No



Yes

Other than for reasons outlined above, CAZ Investments will not release your personal information unless one of the following occurs:

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

Sharing Practices

HOW IS MY PERSONAL INFORMATION COLLECTED?

We collect your information, for example, when you:

- Open an account;
- Complete a transaction;
- Transact trades through us, affiliates, or others; and
- Visit our website; we collect information via “cookies” indicating which websites you have visited.

HOW IS MY PERSONAL INFORMATION PROTECTED?

To protect your information from unauthorized access and use, we use security measures that include computer safeguards, secured files and records, and secure buildings / offices.

WHY CAN'T I LIMIT ALL INFORMATION SHARING?

Federal law gives you the right to limit information sharing only for:

- affiliates’ everyday use—information about your credit-worthiness;
- affiliates to market to you;
- Non-affiliates to market to you.

State laws and individual companies may give you rights to limit sharing.

HOW OFTEN AM I NOTIFIED ABOUT SHARING PRACTICES?

We must notify you about our sharing practices when you open an account and each year while you are a client of CAZ Investments.

Definitions

EVERYDAY BUSINESS PURPOSES

The actions necessary by financial companies to run their business and manage client accounts, such as:

- processing transactions, mailing and auditing services;
- providing information to custodian/ brokerage firms and regulators; and
- responding to court orders and legal investigations.

AFFILIATES

Companies related by common ownership or control. CAZ Investments does not have affiliated companies other than the private investment funds for which it serves as General Partner.

NON-AFFILIATES

Companies not related by common ownership or control—they can be financial and non-financial companies.



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