

As a financial institution and member of the NASD, Forum Capital Securities LLC ("Forum" or "We") must obtain personal and financial information about our customers. We are committed to protecting our customers' personal and financial information. This Privacy Statement answers some questions about what nonpublic personal information We collect, what We do with it, and how We protect it.

We do not disclose any nonpublic personal information about our customers or former customers to any nonaffiliated third parties, except as described below.

Collection of Nonpublic Personal Information

We limit the collection and use of nonpublic personal information to that which is necessary to effectively administer our business, deliver exceptional service to our customers, and comply with applicable industry regulations. We collect nonpublic personal information about you from the following sources:

- Information We receive from you on applications and other forms such, as your name, address, Social Security number, date of birth, employment information, investment experience, and risk tolerance ;
- Information about your transactions with us; and
- Information We may receive from a consumer reporting agency.

Use of Nonpublic Personal Information

We do not disclose nonpublic personal information about former customers to anyone, except as permitted by law or to cooperate with regulators or law enforcement authorities.

We disclose nonpublic personal information to nonaffiliated third parties, as permitted or required by law or to cooperate with regulators or law enforcement authorities. These parties include government/regulatory organizations, such as the Internal Revenue Service (IRS) and the Securities and Exchange Commission (SEC), as well as any of the securities exchanges and states We are registered with and to parties under court order or subpoena that request this information. Disclosures for which you have provided your consent or you have directed us to make are also permitted.

Information Security

We restrict access to nonpublic personal information about you to those employees who have a need to know that information to provide products or services to you. We maintain physical, electronic and procedural safeguards that comply with federal standards to guard your nonpublic personal information. We conduct regular internal audits of our business practices and procedures, examining confidentiality standards and information access in order to protect your personal information.

Correcting and Updating Your Information

The accuracy of your personal information is important to us and will facilitate our ability to provide you with the excellent service that you expect and deserve. If you are a customer and have a concern or questions about the accuracy or currency of your personal or account information maintained at Forum, please contact us via email at info@forumcp.com or call 212-290-1787.

If you have questions about our privacy policy, please contact us at info@forumcp.com.