

PRIVACY POLICY NOTICE

ROCKET CAPITAL MANAGEMENT, LLC

Rocket Capital Management, LLC is committed to adhering to the requirements and expectations regarding the privacy of personal information. Privacy regulations are founded upon three definitions:

1. **Consumer** – a person who has not entered into an investment advisory relationship but has disclosed non-public personal information to our firm.
2. **Client** – a person who has entered into an investment advisory relationship with the firm or that individual’s designated representative.
3. **Confidential Information** – personally identifiable private information, not available from public sources, about a client or consumer. It generally includes name, address, age, social security number, assets, income, net-worth, account balances, account numbers, beneficiary information, or investment history.

Our firm collects non-public information about client and consumers. We will not share non-public information about clients or consumers with third parties not affiliated with our firm, except as noted below:

- To complete transactions or account changes, as directed by the client
- To maintain or service a client’s account
- If requested by the client
- With entities under common ownership and control of our firm
- With contracted third-parties who require the information to develop, support and deliver services
- If our firm is required or permitted by law or regulatory authorities with jurisdiction over the firm

As a client of our firm, your privacy is important to us. We are dedicated to safeguarding your personal and financial information. We restrict access to confidential personal information about you to those employees who need to know that information to provide products or services to you. We maintain physical, electronic, and procedural safeguards to comply with federal standards to guard your confidential personal information.

We will notify you in advance if our privacy policy is expected to change. We are required by law to deliver this *Privacy Notice* to you annually, in writing.

Please contact us with any questions about this policy.

PRIVACY POLICY & OPT OUT ELECTION FORM

If you would not like your information shared, please contact us by:

- Calling us at 952-476-0271 or
- Filling out this form and mailing it to: Rocket Capital Management, LLC
319 Barry Avenue, Suite 210
Wayzata, MN 55391

Check which option applies to you:

_____ Do not share information about me or any joint account holder with companies in your corporate family from my credit reports, financial or personal information from my applications, or information from other sources.

_____ Do not share information about me or any joint account holder with unrelated companies or persons so that they may offer their products or services to me or for other purposes.

Name _____

Address _____
