

U.S. CONSUMER PRIVACY NOTICE

This notice is effective as of April 2020.

FACTS WHAT DOES AST 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:

- Social security number;
- Account balances;
- Transaction history;
- Account transactions; and
- Wire transfer instructions

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 reason AST chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does AST 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 and legal investigations, or report to credit bureaus	Yes	No
For our marketing purposes - to offer our products and services to you	No	We do not share
For joint marketing with other financial companies	No	We do not share
For our affiliates' everyday business purposes - information about your transactions and experiences	Yes	No
For our affiliates' everyday business purposes - information about your creditworthiness	No	We do not share
For our affiliates to market to you	No	We do not share

For nonaffiliates to market to you

No

We do not share

WHO WE ARE

Who is providing this notice?

American Stock Transfer & Trust Company, LLC (AST)

WHAT WE DO

How does AST protect my personal information?

To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.

AST has implemented numerous physical, electronic, and procedural safeguards to prevent the unauthorized sharing of information, including limiting sharing to necessary employees and encryption of sensitive transmission using SSL protection.

How does AST collect my personal information?

We collect your personal information, for example, when you

- Open an account;
- Direct us to buy securities;
- Direct us to sell your securities;
- Give us your contact information; and
- Pay us by check

Why can't I limit all sharing? Federal law gives you the right to limit only

- Sharing for affiliates' everyday business purposes - information about your creditworthiness;
- Affiliates from using your information to market to you; and
- Sharing for nonaffiliates to market to you

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

DEFINITIONS

Affiliates

Companies related by common ownership or control. They can be financial and nonfinancial companies.

- Our affiliates include companies, such as AST Fund Solutions, LLC, D.F. King & Co., Inc., Donlin, Recano & Company, Inc., LINK Shareholder Services, LLC, AST Private Company Solutions, Inc., AST Investor Services Inc. (Canada), and AST Trust Company (Canada).

Nonaffiliates

Companies not related by common ownership or control. They can be financial and nonfinancial companies.

- AST does not share with nonaffiliates so they can market to you.

Joint marketing

A formal agreement between nonaffiliated financial companies that together market financial products or services to you.

- AST does not jointly market.

Questions? Call 866.627.2494 or go to www.astfinancial.com.