

ZIV INVESTMENT COMPANY
PRIVACY POLICY

Tel: 312-427-7208
MEMBER FINRA & SIPC

Privacy Notice

Ziv Investment Company (the "Firm") provides investment brokerage services by means of its own internal operation and those of its third-party providers such as our clearing firm and mutual fund and variable product sponsors. The Firm acts as an introducing broker to its clearing firm and product sponsors, which, in turn, process the transactions and act as the account custodians. All of the above-named parties receive and maintain information about you that is related to and necessary for processing investments in your account. In some instances, we also provide self-clearing and custody services.

WHERE DO WE OBTAIN THE INFORMATION

The information that we have comes directly from you. This includes such information as your name, address and Social Security Number that you provided on applications, agreements or other forms. In addition, we maintain records of each of your transactions and holdings processed by us. We also may obtain information about you, such as your credit history or other facts relating to creditworthiness, from a consumer-reporting agency.

TO WHOM DO WE DISCLOSE THE INFORMATION

The Firm does not sell your non-public personal information. We provide information about current or former clients from the sources described above to parties outside of this firm only as described below:

To other companies as necessary to process your business. For example, we process many securities transactions through our clearing firm, RBC Capital Markets, we utilize execution services through Celadon Financial Group LLC, and we process some mutual fund or variable product transactions through product providers with whom we have dealer selling agreements. With respect to advisory services, if you select a custodial broker dealer other than RBC Capital Markets, we will be required to share information with that firm.

Where required by law or regulation. Examples include responses to a subpoena, court order or regulatory demand.

As authorized by you. You may direct us, for example, to send account statements or other account information to a third party.

As otherwise authorized or permitted by law. For example, the law permits us to respond to a request for information about you from a consumer-reporting agency.

CONFIDENTIALITY AND SECURITY

We restrict access to information about you to those employees and authorized agents who need to know that information in order to provide products or services to you. We maintain physical, electronic and procedural safeguards to maintain the confidentiality of your information through to its destruction.

FINRA BrokerCheck

The FINRA has a program, BrokerCheck, whereby you may obtain information about a member firm or its representatives. You may obtain information by calling the FINRA BrokerCheck's hotline at 1-800-289-9999 or by going to the FINRA Regulation website at <http://brokercheck.finra.org>. Specific information about our firm's services and conflicts of interest may be found in our Form CRS located at https://files.brokercheck.finra.org/crs_4316.pdf.

Complaint Inquiries

Customer complaints and any changes to your account record should be directed to our customer service department at 312-427-7208 or in writing to: 141 W. Jaconson, Blvd, Ste 2095, Chicago, IL 60604.