

Notice of Collection of Personal Information

The California Consumer Privacy Act of 2018 ("CCPA") gives individuals (natural persons) who reside in the State of California ("consumers" or "you"), certain rights to know what personal information that CUSO Financial Services, LP and Sorrento Pacific Financial, LLC ("we" or "our") collect about you and how we collect, share, and protect your personal information.

We collect certain information that identifies, relates to, describes, references, is capable of being associated with, or could reasonably be linked, directly or indirectly, with you or a particular device ("personal information"). Personal information does not include information that is lawfully made publicly available from federal, state, or local government records.

Within the last twelve months we have collected the following types of personal information from consumers for business or commercial purposes:

| Category | Types of personal information we collect | Business or commercial purpose for which information is collected |
|--|--|---|
| A. Identifiers | Your real name, alias, postal address, unique personal identifier, online identifier, Internet Protocol (IP) address, email address, account name, social security number, driver's license number, passport number, and other similar identifiers. | For our everyday business purposes and for marketing purposes, such as, to offer you products and services you request, maintain and service your accounts, process or fulfill orders and transactions, verify your information, process payments, provide similar services to you, and answer your questions |
| B. Personal information described in Section 1798.80(e) of the California Civil Code | Your signature, telephone number, passport number, state identification card number, insurance policy number, education, employment, employment history, bank account number, credit card number, debit card number, any other financial information, medical information, and certain health insurance information. | |
| C. Protected classification characteristics under California or federal law | Age (40 years or older), race, color, national origin, citizenship, marital status, medical condition, physical or mental disability, sex, pregnancy or childbirth, and related medical conditions), military or veteran status. | |
| D. Commercial information | Records of personal property, products, or services purchased, obtained, or considered, or other purchasing or consuming histories or tendencies. | |
| E. Biometric information | Fingerprints (applicable to employees, associated persons, and registered representatives only). | Required for all employees and associated persons for security purposes |
| F. Internet or other electronic network activity | Browsing history, search history, and information on a consumer's interaction with a website, application, or advertisement. | For data security and protection of data from unauthorized access |
| G. Professional or employment-related information | Job application, resume, employment contract, performance review, photo for identification, information for payroll processing and benefits administration, and contact information. | To verify employee information and pay and provide benefits to our employees and independent contractors |

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