

FACTS: WHAT DOES MOORS & CABOT 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 and birth date
- Net worth, assets, and income
- Account balances, transaction history, and payment history
- Medical information (if applying for insurance)

When you are no longer our customer, we continue to share your information as described in this notice.

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 reasons Moors & Cabot chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does M&C 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	Yes	No
For joint marketing with other financial companies	No	We don't 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 don't share
For nonaffiliates to market to you	No	We don't share

To limit our sharing:

- Call **1-800-426-0501** to contact our Compliance department.
- *Please note:* If you direct us not to share your personal information with our affiliated financial services providers, we may still share your personal information to the extent permitted by law to process transactions and/or to service your accounts. If you have a joint account, we will treat an opt-out direction by a joint customer as applying to all associated joint customers.

Questions?

Call 1-800-426-0501 or write to Privacy Management, c/o Compliance Department, Moors & Cabot, Inc., One Federal St, 19th Fl, Boston, MA 02110.

What We Do	
How does M&C protect my personal information?	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law, including physical, electronic, and procedural safeguards. We authorize access to your nonpublic information only to personnel who need that information to serve you.
How does M&C collect my personal information?	<p>We collect your personal information, for example, when you:</p> <ul style="list-style-type: none">• Provide information on applications and related forms• Discuss your needs with your advisor or our customer service staff• Make deposits, withdrawals, or execute trades (transaction history) <p>We also collect your personal information from others, such as information service companies, consumer reporting agencies, employers, associations, benefit plan sponsors, and other institutions.</p>
Why can't I limit all sharing?	<p>Federal law gives you the right to limit only:</p> <ul style="list-style-type: none">• sharing for affiliates' everyday business purposes—information about your creditworthiness• affiliates from using your information to market to you• sharing for nonaffiliates to market to you <p>State laws and individual companies may give you additional rights to limit sharing. (See the "Other Important Information" section below for details regarding state-specific rights).</p>
Definitions	
Affiliates	<p>Companies related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none">• Moors & Cabot's affiliates include affiliated financial services providers, such as insurance companies, mutual fund companies, banks, investment firms, third-party administrators, and clearing firms.
Nonaffiliates	<p>Companies not related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none">• Moors & Cabot does not sell, share, or disclose your nonpublic personal information to unaffiliated third-party marketing companies.
Joint marketing	<p>A formal agreement between nonaffiliated financial companies that together market financial products or services to you.</p> <ul style="list-style-type: none">• Moors & Cabot doesn't jointly market.

Digital and Online Privacy

To enhance your online experience and maintain the highest standards of account security, Moors & Cabot utilizes cookies and similar tracking technologies on our website. Cookies are small data files placed on your device that allow us to remember your preferences, analyze site traffic, and optimize our platform's overall performance. As a registered broker-dealer, we also rely on these essential technologies to authenticate your identity, secure your active sessions, and prevent unauthorized access or fraudulent activity within your account. While you can adjust your browser settings to decline or delete cookies, please be aware that disabling them may limit your ability to access secure areas of our site or restrict certain features.

OTHER IMPORTANT INFORMATION

State-Specific Privacy Notices Depending on where you live, you may have additional privacy protections under state law. We will comply with applicable state laws before sharing your personal information.

For Massachusetts Residents The state of Massachusetts requires financial institutions to obtain your consent prior to sharing personal information that they collect about you with nonaffiliated third parties, or eligibility information with affiliated companies, other than in certain limited circumstances. Except as permitted by law, we will not share personal information we collect about you with nonaffiliated third parties, or eligibility information with affiliated companies, unless you provide us with your written consent to share such information.

For Vermont Residents The state of Vermont requires financial institutions to obtain your consent prior to sharing personal information that they collect about you with nonaffiliated third parties, or eligibility information with affiliated companies, other than in certain limited circumstances. Except as permitted by law, we will not share personal information we collect about you with nonaffiliated third parties, or eligibility information with affiliated companies, unless you provide us with your written consent to share such information.

For California Residents In response to California law, if your account has a California home address, your personal information will not be disclosed to nonaffiliated third parties except as permitted by applicable California law, and we will limit sharing such personal information with our affiliates to comply with California privacy laws that apply to us.

For Residents of Virginia, Connecticut, Montana, Florida, and Iowa Your state has enacted a comprehensive consumer data privacy law (e.g., the Virginia Consumer Data Protection Act, the Connecticut Data Privacy Act). These state laws grant consumers specific rights regarding the collection, use, and deletion of their personal data. However, please note that personal information collected, processed, sold, or disclosed by a financial institution subject to the federal Gramm-Leach-Bliley Act (GLBA) is generally exempt from these state-level privacy statutes. Moors & Cabot protects your personal information in strict accordance with federal law and the practices outlined in this privacy notice.

For Residents of Arizona, Georgia, Maryland, Minnesota, New Mexico, New York, North Carolina, and Ohio Moors & Cabot complies with all applicable state-specific financial privacy regulations and data breach notification laws in the states where we maintain branch offices. We will not share your nonpublic personal information with nonaffiliated third parties for marketing purposes without your express permission, regardless of your state of residence.