



Privacy Notification

RIM SECURITIES LLC

We are providing you with this privacy notice to help you understand how we handle the personal information about you that we collect and may disclose to our affiliates and other third parties.

Sharing personal information with third party investment advisors or securities broker/dealers that refer you to us for investment services can make it easier for you to remain fully informed as well as aid us in the management of your account.

Categories of Information That We Collect

We collect nonpublic personal information about you from the following sources:

- Information we receive from you on applications, questionnaires or other forms in either electronic or paper format;
- Information about your transactions with us, our affiliates or others;
- Information we receive about you from third party investment advisors or securities broker/dealers that refer you to us for investment management services; and
- Information we receive from a consumer reporting agency, if applicable.

Categories of Information That We Disclose

We may disclose the following kinds of nonpublic personal information about you:

- Information we receive from you on applications, questionnaires or other forms, such as your name, address, social security number, assets, securities holdings and income; and
- Information about your transactions with us, our affiliates, or others, such as your account balance, payment history, securities transactions, parties to transactions and account analysis.
- Information we receive from a consumer reporting agency, such as your creditworthiness and credit history.

Parties to whom Symphonic Discloses

We may disclose nonpublic personal information about you to the following types of third parties:

- Financial Service Providers, such as those non affiliated investment advisors and securities broker-dealers who have referred you to us so that we may provide investment management and brokerage services or those entities that are affiliates of ours. Our affiliated companies are Symphonic Securities LLC, Rochdale Investment Management LLC, RIM Securities LLC, Rochdale Investment Trust, Rochdale Core Alternative Strategies Fund and Rochdale Securities LLC, an institutional broker-dealer which assists us in trade executions.

Categories of Information that we disclose about our former customers and the parties to whom we disclose

We do not disclose any nonpublic personal information about our former customers to anyone, except as permitted by law.

Your right to opt out of the disclosure of your nonpublic personal information to affiliated and/or non affiliated third parties

If you prefer that we not disclose nonpublic personal information about you to affiliated and/or non affiliated third parties, you may opt out of those disclosures, that is, you may direct us not to make those disclosures (other than disclosures permitted by law). If you wish to opt out of disclosures to affiliated and/or non affiliated third parties, please contact your Financial Advisor to request an Opt-Out Form.

Confidentiality and Security

We restrict access to nonpublic 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 that comply with federal standards to guard your nonpublic personal information.

Changes to Privacy Policy

Symphonic reserves the right to modify this privacy policy at any time. We will post such changes on the web site in a timely manner, however, specific notification of such changes will not necessarily be made.