

Privacy Policy:
Customer Information Privacy Principles
Swan Global Investments, LLC, 277 E 3rd Ave, Unit A, Durango,
CO 81301

Like most industries today, the financial services industry is rapidly being shaped by technology, which is literally changing the way we do business. To be successful in this environment, we must continue to insure that our customers are confident that we will manage their financial affairs expertly and confidentially.

At Swan Global Investments, LLC, we are required to acquire and retain certain personal and private client information to provide the services we offer. It is essential that we use discretion and technology to manage and maintain certain customer information.

We want to assure all of our customers that whenever information is used, it is done with discretion. The safeguarding of customer information is an issue we take seriously at Swan Global Investments, LLC. To affirm our continuing commitment to the proper use of customer information, we have set forth the following Privacy Principles. It is these Privacy Principles that guide us in serving the privacy needs of our customers.

- 1. Recognition of a Customer's Expectation of Privacy: Swan Global Investments, LLC, we believe the confidentiality and protection of customer information is one of our fundamental responsibilities. And while information is critical to providing quality service, we recognize that one of our most important assets is our customers' trust. Thus, the safekeeping of customer information is a priority for Swan Global Investments, LLC.**
- 2. Use, Collection, and Retention of Customer Information: Swan Global Investments, LLC limits the use, collection, and retention of customer information to what we believe is necessary or useful to conduct our business, provide quality service, and offer products, services, and other opportunities that may be of interest to our customers. Information collected may include, but is not limited to**

- name, address, telephone number, tax identification number, date of birth, employment status, annual income, and net worth.
- 3. Maintenance of Accurate Information: Swan Global Investments, LLC recognizes that it must maintain accurate customer records. Therefore, Swan Global Investments, LLC has established procedures to maintain the accuracy of customer information and to keep such information current and complete. These procedures include responding to requests to correct inaccurate information in a timely manner.**
 - 4. Limiting Employee Access to Information: At Swan Global Investments, LLC, employee access to personally identifiable customer information is limited to those with a business reason to know such information. Employees are educated on the importance of maintaining the confidentiality of customer information and on these Privacy Principles. Because of the importance of these issues, all Swan Global Investments, LLC employees are responsible for maintaining the confidentiality of customer information and employees who violate these Privacy Principles will be subject to disciplinary measures.**
 - 5. Protection of Information via Established Security Procedures: Swan Global Investments, LLC recognizes that a fundamental element of maintaining effective customer privacy procedures is to provide reasonable protection against the unauthorized access to customer information. Therefore, Swan Global Investments, LLC has established appropriate security standards and procedures to guard against any unauthorized access to customer information.**
 - 6. Restrictions on the Disclosure of Customer Information: When it comes to sharing customer information with unaffiliated companies, Swan Global Investments, LLC, places strict limits on who receives specific information about customer accounts and other personally identifiable data. Swan Global Investments, LLC may share information with such companies if they provide a product or service that may benefit our customers. Whenever we do this, we**

carefully review the company and the product or service to make sure that it provides value to our customers.

We share the minimum amount of information necessary for that company to offer its product or service. We may also share information with unaffiliated companies that assist us in providing our products and services to our customers; in the normal course of our business (for example, with consumer reporting agencies and government agencies); when legally required or permitted in connection with fraud investigations and litigation; in connection with acquisitions and sales; and at the request or with the permission of a customer.

7. Maintaining Customer Privacy in Business Relationships with Third Parties: If we provide personally identifiable customer information to a third party with which we have a business relationship, we will insist that the third party keep such information confidential, consistent with the conduct of our business relationship.

8. Disclosure of Privacy Principles to Customers: Swan Global Investments, LLC recognizes and respects the privacy expectations of our customers. We want our customers to understand our commitment to privacy in our use of customer information. As a result of our commitment, we have developed these Privacy Principles which are made readily available to our customers. Customers who have questions about these Privacy Principles or have a question about the privacy of their customer information should call Swan Global Investments, LLC at 970-382-8901.

9. These Privacy Principles apply to individuals, and we reserve the right to change these Privacy Principles, and any of the policies or procedures described above, at any time without prior notice. These Privacy Principles are for general guidance and do not constitute a contract or create legal rights and do not modify or amend any agreements we have with our customers.