

**WALLEYE CAPITAL LLC**

**Privacy Notice  
Last Updated and Effective March 2025**

Walleye Capital LLC is committed to protecting investors' privacy and maintaining the confidentiality and security of investors' personal information. In accordance with its legal obligations, Walleye Capital LLC is required to inform investors how it treats certain information concerning investors to aid their understanding in how it handles investors' personal information and how such information is used to service investors.

Protecting investors' personal information is one of our highest priorities. We want to be sure that you know why we need to collect personal information from you. We also want to explain to you our commitment to protect the information you provide to us. We do not disclose personal information about our investors or former investors to unaffiliated third parties other than as described below. For the purposes of the relevant **"Data Protection Legislation"** (as defined below), the data controller is Walleye Capital LLC.<sup>1</sup>

If you are a California resident, please read our Privacy Notice for California Consumers [here](#).

**Investor Information**

We collect personal information about you (including, but not limited to, your name, address, tax identification number, social security number, copies of formation documents, completed tax forms, and bank account information).

If you are a corporate investor (including legal arrangements such as trusts or exempted limited partnerships) or a California resident (an individual who is in California for other than a temporary or transitory purpose, and is domiciled in California but is outside California for a temporary or transitory purpose) that provides us with personal information on individuals connected to you for any reason in relation to your investment with the fund, this Privacy Notice will be relevant for those individuals, and you should transmit this document to such individuals or otherwise advise them of its content.

**Information We Collect or Generate About You**

The personal information that we collect may include: (i) files that we may produce as a record of our relationship with you and/or in the course of managing the fund, including contact history and correspondence records; (ii) personal information contained in subscription documents and documents that you may deliver to us; or (iii) any personal information that you provide or we collect in order to resolve complaints, improve our service and in order to comply with our legal and regulatory requirements.

**Information We Obtain From Other Sources**

Personal information that we collect may include information from publicly available sources, including third party agencies such as credit reference agencies, public databases, registers (including regulatory registers) and records, and information obtained from sanction checking and background screening providers.

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<sup>1</sup> For purposes of the Cayman Islands' DPA (as defined in this Privacy Notice), the "controller" will be the applicable Cayman Islands fund entity.

In certain circumstances, we may also obtain information about actual or alleged criminal convictions and offences due to money laundering, sanctions, financial crime and fraud prevention checks.

### **How We Use Personal Information**

We may use personal information to evaluate your eligibility to invest in the fund and in connection with managing the fund and your investment therein. More specifically we use your personal information:

- to process financial transactions;
- to improve the quality of the service that we provide;
- to disclose information to other third parties such as service providers of the fund, auditors, regulatory authorities and technology providers (as set out in more detail below);
- to communicate with you as necessary in connection with the management of the fund;
- to report regulatory and tax related information to regulatory and tax authorities in order to comply with a legal obligation, including any obligation arising under legislation implementing the U.S. Foreign Account Tax Compliance Act of 2010, as amended, and the Organisation for Economic Co-operation and Development's Common Reporting Standard;
- to permit, administer and record your investment in the fund;
- to verify the identity of the prospective investor to comply with statutory and regulatory requirements including in relation to the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and to prevent the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an on-going basis;
- in connection with the fund's internal management and reporting; and
- for prudential and risk management purposes.

### **Legal Grounds**

Relevant Data Protection Legislation permits us to process your personal information in the way that we do because the processing is:

- necessary for the purposes of the legitimate interests that we pursue, which are to manage the fund, to discharge our legal obligations, to store and disclose information where necessary and to evaluate, develop and improve our services;
- necessary for the performance of a contract with you; or
- necessary in order to comply with a legal obligation to which we are subject.

To the extent that we process any special categories of data (e.g. racial or ethnic origin, health condition, political opinions, religious beliefs) relating to you for any of the purposes outlined above, we will do so because: (i) you have given us your explicit consent to process that personal information; (ii) you have made the personal information manifestly public; or (iii) the processing is necessary for the establishment, exercise or defense of legal claims.

### **Sharing Information**

We may provide your personal information to our affiliates and to firms that assist us in managing and operating the fund and have a need for such information, such as a broker, administrator or custodian. We do not otherwise provide information about you to outside firms, organizations or individuals except to our attorneys, accountants, administrators, auditors and as permitted or required by law or requested or approved by you. With your approval, we also may share information with your advisors, which can include

your accountant and/or attorney. In the normal course of our business, we may disclose information we collect about you to unaffiliated companies or individuals that contract with us to perform servicing functions such as:

- Record keeping and other administrative services;
- Facilitating the investment, redemption and allocation of investments;
- Computer related services; and
- Good faith disclosure to regulators who have regulatory authority over Walleye Capital LLC and its Relying Advisers as that term is used under the Investment Advisers Act of 1940.

We may also share your personal information with third parties outside our corporate group for the following purposes:

- to third party agents and contractors for the purposes of providing services to us, including, IT and communications providers, law firms, accountants and auditors. These third parties will be subject to confidentiality requirements, and they will only use your personal information as described in this Privacy Notice; and
- to the extent required by law, for example if we are under a duty to disclose your personal information in order to comply with any legal obligation, establish, exercise or defend our legal rights.

Companies we hire to provide support services are not authorized to use your personal information for their own purposes and are obligated to maintain confidentiality of such information. We limit their use of your personal information to the performance of the specific service we have requested. We do not provide your personally identifiable information to mailing list vendors or solicitors for any purpose but we may disclose your information for our own marketing purposes, such as to offer our products and services to you. When we provide personal information to a service provider, we expect these providers to safeguard your information, use the information only for the intended purposes and abide by applicable law.

Such personal information will be held in confidence and processed in accordance with relevant data protection legislation including, insofar as relevant, the General Data Protection Regulation (Regulation (EU) 2016/679 of the European Parliament and the Council of 27 April 2016) (“**GDPR**”), the Data Protection Act (as revised) of the Cayman Islands (“**DPA**”), and the California Consumer Privacy Act of 2018 (“**CCPA**”) (collectively, the “**Data Protection Legislation**”), including any amendments thereto.

Any transfer of personal information by us or our duly authorised affiliates and/or delegates to countries not having an adequate level of protection shall be in accordance with the requirements of the applicable data protection laws.

### **Employee Access to Information**

Only employees with a valid business reason have access to your personal information. These employees are educated on the importance of maintaining the confidentiality and security of this information. They are required to abide by our information handling practices.

### **Transfer of Personal Information**

Due to the international nature of our business, personal information will be transferred to, and stored at, a destination outside the European Economic Area (“**EEA**”), for example, to Walleye Capital LLC and the fund, or to countries not regarded by the European Commission as providing an adequate level of data

protection. When we or our permitted third parties transfer personal information in this manner, we will ensure that the transfer is subject to appropriate safeguards in accordance with the relevant Data Protection Legislation.

### **Protection of Information**

We will secure your personal information by using appropriate technical and organization measures to prevent unauthorized or unlawful processing and any accidental loss, destruction or damage. Our security standards will protect your information, whether it is written, spoken or electronic. We update and test our systems to ensure the protection and integrity of information.

### **Maintaining Accurate Information**

Our goal is to maintain accurate, up-to-date investor records in accordance with industry standards. When you or any other investor provides us with updated information, we will endeavor to update our records as soon as possible. We do not, however, have a duty to inquire as to changes in the information you provide to us.

### **Data Subject Rights**

Under the Data Protection Legislation, where relevant, you have the following rights, in certain circumstances, in relation to your personal information:

- the right to access your personal information or a copy of any personal information which we hold about you;
- the right to rectify your personal information, if you consider that it is inaccurate;
- the right to restrict the use of your personal information;
- the right to request that your personal information be erased, if you consider that we do not have the right to hold it;
- the right to withdraw your consent to the processing of your personal information (to the extent such processing is based on previously obtained consent);
- the right to object to processing of your personal information, in certain circumstances;
- the right to data portability and the right to lodge a complaint with a supervisory authority; and
- for the purposes of the DPA, the right to be informed of a data breach (unless the breach is unlikely to be prejudicial to you).

Any request for access to or a copy of your personal information must be in writing, and we will endeavor to respond within a reasonable period and in any event within one (1) month in compliance with relevant Data Protection Legislation. We will comply with our legal obligations in regard to your rights as a data subject.

### **How Long We Keep Personal Information**

We will only keep the information we collect about you for as long as required for the purposes set out in this Privacy Notice, or as required to comply with any legal obligations to which we are subject being the longest of the following periods:

- as long as is necessary for the relevant activity or as is set out in any relevant agreement you enter into with us;
- the length of time it is reasonable to keep records to demonstrate compliance with professional or legal obligations;
- any retention period that is required by law; or
- the end of the period in which litigation or investigations might arise in respect of an investment in the fund.

This will involve us regularly reviewing our files to check that information is accurate, up-to-date and still required.

### **Email**

Should you send us your questions and comments via e-mail, we will share your correspondence with those employees or agents most capable of addressing your questions and concerns. We will retain your communication until we have attempted to provide you with a complete and satisfactory response. Ultimately, we will either discard your communication or archive it according to the requirements under applicable securities laws. Please note that, unless we expressly advise you otherwise, our e-mail facilities do not provide a means for completely secure and private communications between us and yourself.

Although every attempt will be made to keep your information confidential, from a technical standpoint, there is still a risk. For that reason, please do not use e-mail to communicate information to us that you consider to be confidential. If you wish, you may contact us instead via telephone or by facsimile. Additional security is available to you if you equip your internet browser with 128-bit secure socket layer encryption, which provides more secure transmissions.

### **Disclosure of our Privacy Notice**

We recognize and respect the privacy concerns of potential, current and former investors. We are committed to safeguarding this information. As a member of the financial services industry, we are sending you this Privacy Notice for informational purposes and will update and distribute it as required by law. It is also available to you upon request. This Privacy Notice is for your information and should not be used as the basis for any decision to purchase or redeem investments in the fund. The views and information expressed in this policy do not constitute and may not be relied upon as constituting any form of investment advice or inducement to invest, and prospective investors must obtain appropriate independent professional advice before making investment decisions.

### **Changes to Privacy Notice**

This Privacy Notice may be amended from time to time without notice, in which case the date of this Privacy Notice will be revised. If our Privacy Notice changes in any way, we will upload the latest version of the Privacy Notice to the web portal of the fund's administrator and/or such other portal(s) where important information relevant to the fund is provided.

**If you have any concerns about our use of your information and are based within the EEA, you also have the right to make a complaint to a national data protection authority. For a current list of EEA authorities and the relevant contact details, please visit [ec.europa.eu](http://ec.europa.eu).**



**If you have any concerns about our use of your information and are based in California, you also have the right to make a complaint to the State of California Department of Justice. For further instructions, please visit [oag.ca.gov](https://oag.ca.gov).**

**If you have any questions, comments or complaints about our privacy policy, please contact Walleye Capital LLC at [compliance-us@walleyecapital.com](mailto:compliance-us@walleyecapital.com), as your privacy and the confidentiality of your information are very important to us.**