

As is required by the regulatory body of the broker-dealer industry, FINRA, we are providing you with information on Silver Portal Capital, LLC's Privacy Policy, Anti-Money Laundering Policy, and Business Continuity Policy, among other things below. Please note that although not all the following topics are directly applicable to our business relationship, your notice of them is still required by FINRA.

Privacy Policy

At Silver Portal Capital, LLC, we are committed to protecting the privacy and security of your non-public personal information. Our goal is to help you understand how we collect and use the information you provide to us. Whether you are a current or former customer, our practices are the same.

Highlights

- Your non-public personal information is confidential
- Information security is a top priority at Silver Portal Capital, LLC
- We do not sell information to third parties
- We do not share your non-public personal information with outside parties except as permitted or required by law

Collection of Information

We may collect non-public, personal information about you in the following manner:

- Personally identifiable information you provide to us on applications and forms, such as income and assets
- Information related to your transactions with Silver Portal Capital, LLC and our affiliates, such as account balances and deposit history
- Information we receive from third parties, such as credit reporting agencies

How We Protect and Use Customer Information

We maintain physical, electronic, and procedural safeguards that comply with federal standards to secure your non-public personal information. We only grant access to non-public, personally identifiable information about our customers to employees of Silver Portal Capital, LLC, its affiliates, and third party service providers contracted to assist in

Silver Portal Capital, LLC

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the servicing of your accounts. All third party service providers are required to maintain the confidentiality of your information. We will only disclose this information as permitted or compelled to do so by law.

We do not currently share information about you that would trigger an opt-out responsibility, so there is no need for you to opt out at this time. Should that change, we will notify you in advance and provide you with the opportunity to opt out of the disclosure of your information.

If you have any questions about your personal or account information or about our privacy policies and practices, please feel free to contact us at (858) 756-6210.

NASD Public Disclosure Information

NASD Conduct Rule 2280, requires the following information be provided to you: (1) The NASD Regulation, Inc. Public Disclosure Program hotline number is 1-800-289-9999; (2) The NASD Website address is, <http://www.nasdr.com/>, and (3) The NASD has a brochure available describing the public disclosure program.

Money Laundering

To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institution to obtain, verify, and record information that identifies each person who opens an account. What this means for you:

- When you open an account, we will ask for your name, address, date of birth and other information that will allow us to identify you.
- We may also ask to see your driver's license or other identifying documents.

For any further information regarding these disclosures, please feel free to contact us at (858) 756-6210.

Silver Portal Capital's Business Continuity Planning

Silver Portal Capital, LLC has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan.

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Contacting Us

If after a significant business disruption you cannot contact us as you usually do at our main office, you should call our alternative number (858) 220-2006.

Business Continuity Plan

We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records, and allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data back up and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Varying Disruptions

Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business within 48 hours. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area, and recover and resume business within 48 hours.

For more information – If you have questions about our business continuity planning, you can contact us at (858) 756-6210.

SIPC Disclosure

Silver Portal Capital, LLC is a member of the Securities Investor Protection <<http://www.sipc.org/>> ("SIPC <<http://www.sipc.org/>> "), which provides account protection for the net equity of a customer's funds and securities positions. SIPC <<http://www.sipc.org/>> provides \$500,000 of primary net equity protection, including \$100,000 for claims for cash ("SIPC <<http://www.sipc.org/>> Coverage").

Visit www.sipc.org <<http://www.sipc.org/>> for more information about SIPC <<http://www.sipc.org/>> Coverage. Account protection applies when a SIPC <<http://www.sipc.org/>> member firm fails financially and is unable to meet its obligations to its securities customers, but does not apply to losses from the rise or fall in the market value of investments or to SIPC <<http://www.sipc.org/>> ineligible assets such as futures, foreign exchange transactions, or any investment contracts that are not registered as securities
