

# HUMANKIND INVESTMENTS LLC

## PRIVACY NOTICE

Humankind Investments LLC (the “Firm”) does not disclose any nonpublic personal information (“NPI”) about its Clients to nonaffiliated third parties except to service or manage the Client’s account or as otherwise permitted by law. Furthermore, the Firm restricts access to the NPI of its Clients to those employees who need that information to provide products or services to the Client. If a Client closes their account, the Firm will continue to adhere to its privacy policy with respect to the NPI of that Client. The disposal of NPI shall be done in a secure manner as described in the Firm’s Policies and Procedures.

### I. Data Collection

The Firm collects NPI about its Clients to serve their investment needs, provide customer service, offer new products and services and comply with legal and regulatory requirements. In particular, the Firm collects information to help determine which products and services Clients are eligible for and which products and services are best suited to its Clients. The type of NPI the Firm collects from Clients may include the following:

- ✧ name,
- ✧ address,
- ✧ telephone number,
- ✧ information regarding existing securities accounts,
- ✧ educational and employment history,
- ✧ prior investment experience with different types of investment vehicles, and any relationships a Client may have with others involved in the securities business,
- ✧ social security number, and
- ✧ financial status (assets and income).

The Firm collects this information about its Clients from the following sources:

- ✧ documents such as application forms,
- ✧ transactions with the Firm and its affiliates in which the Client participates, and
- ✧ correspondence and other communications (including telephone, mail and e-mail) with Clients.

### II. Uses of Information

For any managed account Clients, NPI may be used internally to provide advisory services to Clients, to open an advisory account and one or more securities brokerage accounts, to process transactions for Client accounts, for account maintenance and otherwise to provide investment advisory services.

The Firm may also provide NPI (including each type of nonpublic information collected that is listed above) about its Clients and former Clients to:

- ✧ nonaffiliated financial service providers, such as broker-dealers, custodians, rebalancer services, or other firms that have a need for such information in order to service or process a financial product, or provide service requested or authorized by the Client or who maintains or services Client accounts on the Firm’s behalf including for anti-money laundering or sanctions checks,
- ✧ broker-dealers and other financial institutions in connection with determinations of eligibility to participate in initial public offerings,
- ✧ broker-dealers, issuers and their counsel in connection with determinations of eligibility and participation in private securities placements,
- ✧ attorneys, accountants and auditors retained by the Firm, to the extent

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required by them to perform services for the Firm and its Clients,

- ✧ in connection with a transaction, including a sale of all or a portion of the Firm or its assets, your NPI may be shared in connection with evaluation of any such transaction and may be transferred to the purchaser,
- ✧ as permitted or required by federal state or local law, such as in response to a subpoena, to prevent fraud or to comply with an inquiry or other requirement of a governmental agency or regulator, and
- ✧ to an affiliate whose privacy and confidentiality policy is at least co-extensive with that of the Firm's.

Except as set forth herein, the Firm does not otherwise provide NPI about Clients, former Clients or prospective Clients to anyone without appropriate notice and consent of the Client.

### III. Opt Out Right; State-Specific Rights

Every Client has the right to direct the Firm to not disclose NPI about that Client to a nonaffiliated third party for marketing purposes. Currently, the Firm does not disclose NPI to nonaffiliated third parties for marketing. In the event we change this policy, we will provide notice to you and provide the opportunity to opt-out, as required by applicable law.

For Vermont Customers: We will not disclose information about your creditworthiness to our affiliates and will not disclose your personal information, financial information, credit report, or health information to nonaffiliated third parties to market to you, other than as permitted by Vermont law, unless you authorize us to make those disclosures. For more information, please contact us as described below under "Contact and Questions."

For California Customers: You have the right to opt-out of sharing with affiliates, including for marketing unless permitted by California Law. In such cases, we will provide notice to you and allow you to opt-out of this sharing.

### IV. Confidentiality and Security

Except as described below, access to nonpublic information about Clients, former Clients and prospective Clients is restricted to employees who need that information in order to provide products or services to Clients. Those employees with access to NPI are required to protect the confidentiality of that information. The Firm maintains physical, administrative and physical safeguards to protect NPI.

### V. Contact and Questions

You may request a copy of this Privacy Notice or submit questions with respect to it by contacting us by email at: email [support@humankind.co](mailto:support@humankind.co) or by calling us toll free at (646) 838-4352.

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