

WALLEYE CAPITAL LLC

General Privacy Notice

Last Updated and Effective March 2026

This General Privacy Notice describes how Walleye Capital LLC (“we” or “us”) collects, uses, discloses, and otherwise processes Personal Information (as defined below) collected through online and offline interactions, including on our website at <https://walleyecapital.com>, and the rights you may have with respect to that Personal Information.

This General Privacy Notice does not apply to information that we collect in the context of providing financial services, such as investment advice, which is instead described in our Investor Privacy Notice. Please contact us at compliance@walleyecapital.com to request a copy.

Consumers with disabilities may access this notice by emailing: compliance@walleyecapital.com.

If you are a California resident, please refer to the section titled “**Supplemental Information for California Residents**” below.

Information We Collect. In the past 12 months, we have collected and disclosed for a business purpose the following categories of personal information (“**Personal Information**”):

Category	Examples	Collected	Disclosed for Business Purpose
A. Identifiers	A real name, alias, email address, postal address, Internet Protocol (IP) address, account name, Social Security number, driver’s license number, passport number, or other similar personal identifiers.	Y	Y
B. Records about you	A signature, physical characteristics or description, telephone number, insurance policy number, education, employment, employment history, bank account number, credit card number, debit card number, or any other financial information, medical information, or health insurance information.	Y	Y
C. Protected classification characteristics under state or federal law	Age (40 years or older), race, citizenship, marital status, sex, veteran or military status.	N	N
D. Commercial information	Account activity, records of personal property, products or services purchased,	N	N

	obtained, or considered, or other purchasing or consuming histories or tendencies.		
E. Biometric information	Fingerprints, faceprints, voiceprints, and iris or retina scans.	N	N
F. Internet or other similar network activity	Browsing history, search history, information on a consumer's interaction with a website, application, or advertisement.	Y	Y
G. Geolocation Data	Information identifying the geographic location of a device, user, or object, collected via GPS, IP addresses, Wi-Fi, or cellular networks.	Y	Y
H. Audio, electronic, visual, thermal, olfactory, or similar information	Audio and video footage from CCTV, phone recordings, etc.	Y	Y
I. Professional or employment-related information	Current or past job history or performance evaluations.	Y	Y
J. Non-public education information (per the Family Educational Rights and Privacy Act)	Education records directly related to a student maintained by an educational institution or party acting on its behalf.	N	N
K. Inferences	Inferences drawn from any information above to create a profile that reflects preferences, characteristics, psychological trends, predispositions, behavior, attitudes, intelligence, abilities, and aptitudes.	N	N
L. Sensitive personal information	A consumer's SS, driver's license, state ID card, or passport number; account log-in or debit/credit card number in combination with any access code, password, or account credentials; precise geolocation; racial/ethnic origin, religious/philosophical beliefs, or union membership; contents of mail, email, and text messages; genetic data; biometric information; or sex life or sexual orientation.	Y	Y

Purpose for Collection and Use of Personal Information. We may collect or use Personal Information for one or more of the following purposes:

- providing you with information about our products and services;
- providing you with performance and other updates;
- one or more of the following business purposes:
 - performing services (for us or our service providers or contractors) such as account servicing, investment management, processing orders and payments, and analytics;
 - legal compliance;
 - detecting and protecting against security incidents, fraud, and illegal activity;
 - internal research for technological improvement;
 - internal operations; and
 - activities to maintain and improve our services.

Disclosing Personal Information. We may disclose Personal Information to:

- service providers, including but not limited to: administrators, custodians, lenders, banks, brokers, auditors, law firms, consultants, and placement agents;
- affiliates;
- business partners;
- legal or government regulatory authorities as required by applicable law;
- in connection with a potential business transfer;
- in connection with our hiring process; and
- third parties to whom you or your agents authorize us to disclose such information in connection with services we provide to you.

Length of Time. We will keep your Personal Information for as long as necessary to comply with our regulatory obligations.

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

Changes to this General Privacy Notice. This General Privacy Notice may be amended from time to time, in which case the date of this General Privacy Notice will be revised. If our General Privacy Notice changes in any way, we will upload the latest version of the General Privacy Notice to the website. We will take steps to notify you of material changes prior to them taking effect.

External Links. Our website may contain links to external sites or other online services that we do not control, including those embedded in third party advertisements or sponsor information. We are not responsible for the privacy practices or data collection policies of such third-party services. You should consult the privacy notices of those third-party services for details on their practices.

Supplemental Information for California Residents

The following terms supplement the above disclosures with respect to our processing of Personal Information about California residents.

This General Privacy Notice describes our Personal Information collection, use, and disclosure practices over the last 12 months. The use of any sensitive Personal Information we collect is limited to only those purposes authorized under the CCPA. We do not knowingly sell or share with third parties (for cross-context behavioral advertising) Personal Information from anyone under the age of 16.

Rights of California residents. The CCPA provides California residents the following rights, subject to certain exceptions and limitations:

- the right to request: (a) the categories and specific pieces of Personal Information we collect about you; (b) the categories of sources from which we collect your Personal Information; (c) our business or commercial purposes for collecting, selling, or sharing your Personal Information; and (d) the categories of Personal Information disclosed for a business purpose, sold, or shared with third parties (for cross-context behavioral advertising) and the categories of persons to whom it was disclosed, sold, or shared (and with respect to Personal Information that is sold or shared, organized by category or categories of Personal Information for each category of third parties to whom the Personal Information was sold or shared);
- the right to request that we delete your Personal Information, subject to certain exceptions;
- the right to opt out of our sale(s) (if any) of your Personal Information to third parties or sharing with such third parties for the purpose of cross-context behavioral advertising;
- the right to request we correct any inaccurate Personal Information maintained about you;
- the right to limit our use of your sensitive Personal Information to only use that which is necessary to perform the services expected or provide the goods reasonably expected; and
- the right not to receive discriminatory treatment for exercising your CCPA rights.

You may submit requests relating to your exercise of CCPA rights to us via:

phone at: 952-345-5200;

or

email at: compliance@walleyecapital.com

You may only make a verifiable request for access or data portability twice within a 12-month period. All verifiable requests must provide (1) enough information that allows us to reasonably verify you are the person about whom we collected Personal Information or an authorized agent and (2) sufficient detail that allows us to properly evaluate and respond to it. We may need to request additional information from you to verify your identity or understand the scope of your request. If we are unable to verify your identity, we will need to deny your request. You may designate an authorized agent to make a CCPA request on your behalf and we reserve the right to seek proof that you have given the authorized agent signed permission to act on your behalf.

We endeavor to respond to a verifiable request within 45 days of its receipt. If we require more time, we will inform you of the reason and extension period in writing. We will deliver our written response by mail or electronically, at your option.