

Notice of Privacy Policy

FACTS	WHAT DOES B. RILEY Capital Management DO WITH YOUR PERSONAL INFORMATION?
Why?	Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.
What?	<p>The types of personal information we collect and share depend on the product or service you have with us. This information can include:</p> <ul style="list-style-type: none"> – Social Security number and employment information – Credit history and credit score – Account balances and account transactions
How?	All financial companies need to share customers’ personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers’ personal information; the reasons B. Riley Capital Management chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Does B. Riley Capital Management share?	Can you limit this sharing?
For our everyday business purposes — such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
For our marketing purposes — to offer our products and services to you	Yes	No
For joint marketing with other financial companies	No	We Do Not Share

For our affiliates' everyday business purposes – information about your transactions and experiences	Yes	No
For our affiliates' everyday business purposes – information about your creditworthiness	No	We Do Not Share
For our affiliates to market to you	Yes	Yes
For non-affiliates to market to you	No	We Do Not Share

Questions: Call 888-295-0155
 If you are a new customer, we can begin sharing your information 30 days from the date we sent this notice. When you are no longer our customer, we continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing.

Who we are

Who provides this notice? B. Riley Capital Management is providing this notice.

What we do

How does B. Riley Capital Management protect my personal information? To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.

How does B. Riley Capital Management collect my personal information?

We collect your personal information, for example, when you:

- Open an account
- Apply for insurance
- Seek advice about your investments
- Enter into an investment advisory account
- Tell us about your investment or retirement portfolio

We may also collect your personal information from others, such as credit bureaus, affiliates or other companies.

Why can't I limit all sharing?

Federal law gives you the right to limit only:

- Sharing for affiliates' everyday business purposes
- Information about your creditworthiness
- Affiliates from using your information to market to you
- Sharing for non-affiliates to market to you.

State laws and individual companies may give you additional rights to limit sharing. See below for more on your rights under state law.

Definitions

Affiliates

Companies related by common ownership or control. They can be financial and non-financial companies.

Non-Affiliates

Companies not related by common ownership or control. They can be financial and non-financial companies. B. Riley Capital Management does not share with non-affiliates so they can market to you.

Joint marketing

A formal agreement between non-affiliated financial companies that together market financial products or services to you. B. Riley Capital Management does not jointly market.

Important Information

Vermont residents: We automatically treat customers with a Vermont mailing address as having limited sharing with affiliates as provided on page 1.

California residents: In response to California law, we automatically treat accounts with California billing addresses as if you do not want to disclose personal information about you to non-affiliated third parties except as permitted by the applicable California law.

If you reside in California, you can make the following requests with respect to your personal information:

- Access – You can request that we disclose to you the categories of personal information collected about you, the categories of sources from which the personal information is collected, the categories of personal information sold (if applicable) or disclosed, the business or commercial purpose for

collecting and selling (if applicable) the personal information, the categories of third parties with whom we share the personal information, and/or the specific pieces of personal information collected about you over the past 12 months.

- Deletion – You can request that we delete your personal information that we maintain about you, subject to certain exceptions.
- Opt-out – For purposes of this privacy policy, “sell” means the sale, rental, release, disclosure, dissemination, availability, transfer, or other oral, written, or electronic communication of your personal information to an outside party for monetary or other valuable consideration. Based on our understanding of California law, we do not sell your personal information, so we do not offer the opt-out right.

We will not discriminate against you because you made any of these requests. California residents can make these requests by emailing us at controlroom@brileyfbr.com or by calling us toll-free at 888-259-0155.

We may deny certain requests, or fulfill a request only in part, based on our legal rights and obligations. For example, we may retain personal information as permitted by law, such as for tax or other record keeping purposes, to maintain an active account, and to process transactions and facilitate customer requests.

We will take reasonable steps to verify your identity prior to responding to your requests. The verification steps will vary depending on the sensitivity of the personal information and whether you have an account with us.

California residents may designate an authorized agent to make a request on their behalf. When submitting the request, please ensure the authorized agent is identified as an authorized agent.

For purposes of these requests, please note the following regarding how we collect and use your personal information as described in this policy:

- We collect and use the following categories of personal information as set forth in the California Consumer Privacy Act of 2018: identifiers; personal information categories listed in Cal. Civ. Code § 1798.80(e); commercial information; internet or other electronic network activity information; and professional or employment-related information.
- We collect these categories of personal information from you, your devices, publicly available sources, our affiliates, our service providers, and our business partners.
- We use these categories of personal information for our business and commercial purposes described above of this Policy.

- We disclose these categories of personal information to our affiliates, service providers, business and advertising partners, law enforcement, and potential acquirers of our business, as described above in this Policy.

Nevada residents: We are providing you this notice pursuant to state law. You may be placed on our internal Do Not Call List by contacting 800-726-0557, by contacting the branch office that services your account and speaking to the branch office manager, by writing to the home office at 40 South Main, Suite 1800 Memphis, TN 38103, or by contacting the Bureau of Consumer Protection, Office of the Nevada Attorney General, 555 E. Washington St., Suite 3900, Las Vegas, NV 89101; 702-486-3132; AGINFO@ag.nv.gov.

Trust or fiduciary accounts: Trust or fiduciary accounts, including employer-sponsored retirement accounts, are protected under special rules of confidentiality. Information on these accounts is not shared for marketing purposes without specific consent.

B. Riley Capital Management representative: If your representative's affiliation with B. Riley Capital Management ends and they join a non-affiliated securities broker-dealer, your representative may be permitted to use limited information to contact you to join their new firm, as a usual means to continue to service and maintain your accounts. The information they may use is limited to your name, address, email address, phone number, and account title.