



NOTICE FOR CALIFORNIA RESIDENTS

California law requires certain businesses to disclose that personal information is being collected as well as information regarding the rights of California residents pursuant to the California Consumer Privacy Act (“CPRA”) when their information has been collected.

A California resident, whose personal information does not fall under one of the exclusions mentioned in the Lime Trading Privacy Policy, may request that we disclose the following information:

- (1) The categories of personal information we have collected about them in the preceding 12 months;
- (2) The categories of sources from which the personal information was collected;
- (3) The business or commercial purpose for collecting, selling, or sharing their personal information;
- (4) The categories of third parties with which we share personal information;
- (5) The specific pieces of personal information we have collected about the resident.

A California resident may request the disclosure of the information listed above by submitting the request form by clicking on the link below or calling 212.824.5000.

[California Resident Disclosure Request Form](#)

Such a request may be referred to as a right to know request. Pursuant to California law, before disclosing specific pieces of personal information Lime Trading has collected about a resident, it will need to verify the resident’s identity. Lime Trading will base its initial response on the information provided in a request for information. Thereafter, if a resident would like Lime Trading to provide the specific information contained in its records or to delete records, Lime Trading will require additional information to verify their identity. The additional information needed may vary based on how the resident has interacted with Lime Trading. Whenever feasible, Lime Trading will match the identifying information provided to the personal information it has in its records. For California residents who are customers, or financial professionals, Lime Trading will utilize its existing authentication practices.

Certain California residents have the right to request that Lime Trading delete any personal information about the California resident that Lime Trading may have collected and that it direct any service provider to delete the personal information from its records. However, pursuant to the CPRA, personal information may not be deleted in certain circumstances, including where maintenance of the personal information is necessary to: (i) complete the transaction for which the personal information was collected, to provide a good or service that was requested or that is reasonably anticipated within the context of an ongoing business relationship with Lime Trading, or to otherwise perform a contract between the resident and Lime Trading; (ii) to protect against or prosecute fraudulent or illegal activity and to detect security incidents; (iii) to enable solely internal uses that are reasonably aligned with a resident’s expectations based on his or her relationship with Lime Trading; (iv) to comply with a legal obligation; or (v) to otherwise use the information internally in a lawful manner that is compatible with the context in which the information was provided. For more information about these and other situations in which Lime Trading may not delete your information, please see California Civil Code Section 1798.105(d).

Certain California residents may request the deletion of information collected by Lime Trading by calling 212.824.5000 or submitting the request form by clicking on the link below. Pursuant to California law, before deleting any personal information as noted above, Lime Trading will need to verify the resident's identity.

A California resident may use an authorized agent to submit a right to know request or a request to delete. To use an authorized agent, the California resident must provide Lime Trading with written authorization. In addition, the California resident may be required to verify their own identity with Lime Trading. Lime Trading may deny a request from an agent who does not submit proof that they have been authorized by the California resident to act on their behalf. Such requirements, however, will not apply where a California resident has provided the authorized agent with power of attorney pursuant to California Probate Code sections 4000 to 4465.

A California resident has the right, at any time, to direct Lime Trading not to sell the personal information that it has indicated is being sold pursuant to the definition of sale contained in the CPRA. This right may be referred to as the right to opt out. Residents may opt out of the sale of personal information by clicking on the link found at the bottom of this page or by calling 212.824.5000. If Lime Trading has a good faith, reasonable and documented belief that a request to opt out is fraudulent, it may deny the request. A California resident may use an authorized agent to submit a request to opt out on the California resident's behalf. The California resident must provide the authorized agent with written authorization to do so. Lime Trading may deny a request from an authorized agent who does not submit proof that they have been authorized by the California resident to act on the California resident's behalf.

In addition, Lime Trading does not and will not sell the personal information of a California resident it has actual knowledge is under the age of 16 without affirmative authorization (known as "opt in").

Lime Trading will not discriminate against a California resident because the California resident exercised any of their rights under the California Privacy Rights Act, including, but not limited to, by:

- (1) Denying goods or services to the California resident;
- (2) Charging different prices or rates for goods or services, including through the use of discounts or other benefits or imposing penalties;
- (3) Providing a different level or quality of goods or services to the California resident;
- (4) Suggesting that the California resident will receive a different price or rate for goods or services or a different level or quality of goods or services.
- (5) Retaliating against an employee, applicant for employment, or independent contractor, as defined in subparagraph (A) of paragraph (2) of subdivision (m) of Section 1798.145, for exercising their rights under CPRA.

Right to Correction: A California resident has the right to request that Lime Trading correct inaccurate information about consumers. Consumers can request a correction as part of a California Privacy Rights Act Request Form submission or by calling 212.824.5000.

[California Resident Disclosure Request Form](#)

SENSITIVE PERSONAL INFORMATION

For its business purposes, Lime Trading has collected the categories of sensitive personal information about certain consumers from the categories of sources and for the business purposes listed below.

| Category of sensitive personal information collected | Category of source of collection | Purpose of collection |
|---|---|--|
| <i>Social security, driver's license, state identification card, or passport number.</i> | <i>Directly from the consumer, retirement plan sponsors and service providers, financial intermediaries and service providers and regulatory authorities.</i> | <i>Business Purposes, account servicing, customer servicing, third-party delivery services, processing transactions, administering employee compensation, benefit and welfare programs, screening applicants for employment and onboarding contractors and business partner employees, and legal proceedings.</i> |
| <i>Account log-in, financial account, debit card, or credit card number in combination with any required security or access code.</i> | <i>Directly from the consumer, retirement plan sponsors and service providers, financial intermediaries and service providers and regulatory authorities.</i> | <i>Business Purposes, marketing products and services, account servicing, customer servicing, third-party delivery services, processing transactions, administering employee compensation, benefit and welfare programs, onboarding employees, contractors and business partner employees and legal proceedings.</i> |
| <i>Racial or ethnic origin, religious or political beliefs, or union membership.</i> | <i>Directly from the consumer, retirement plan sponsors and service providers, financial intermediaries and service providers and regulatory authorities.</i> | <i>Administering employee compensation, benefit and welfare programs, onboarding employees, improving our products and services and customer servicing.</i> |

In accordance with California Civil Code 1798.121, Lime Trading does not use sensitive personal information for any purpose that is not necessary to perform the services it offers. Accordingly, Lime Trading cannot provide the option to limit the use of sensitive personal information.

Lime Trading has sold (as that term is defined by the CPRA) the following categories of personal information about California residents to the following categories of third parties.

| Category of personal information sold | Category of third party to which personal information disclosed |
|--|---|
| <i>Internet or other electronic network activity information, including, but not limited to, browsing history, search history, and information regarding a consumer's interaction with an Internet Web site, application or advertisement.</i> | <i>Digital advertising companies.</i> |
| <i>Professional or employment-related information.</i> | <i>Data consortium.</i> |
| <i>Identifiers such as a real name, alias, postal address, unique personal identifier, online identifier, Internet Protocol address, email address, or account name.</i> | <i>Data consortium.</i> |

Lime Trading has disclosed for a business purpose the following categories of personal information about California residents to the following categories of third parties.

| Category of personal information disclosed for a business purpose | Category of third party to which personal information disclosed, to the extent disclosed to a third party |
|--|---|
| <i>Identifiers such as a real name, alias, postal address, unique personal identifier, online identifier, Internet Protocol address, email address, account name, social security number, driver's license number, passport number, bank information or other similar identifiers.</i> | <i>Online service providers, social media providers, digital advertising firms, third-party data services, data consortiums, financial intermediaries such as broker dealers, investment advisers, banks, trust companies, third-party recordkeepers and third-party administrators, service providers and regulatory agencies.</i> |
| Any categories of personal information described in subdivision (e) of Section 1798.80. | <i>Data consortiums, financial intermediaries such as broker dealers, investment advisers, banks, trust companies, third-party recordkeepers and third-party administrators, service providers and regulatory agencies.</i> |
| <i>Characteristics of protected classifications under California or federal law.</i> | Service providers and regulatory agencies. |
| <i>Commercial information, including records of personal property, products or services purchased, obtained or considered, or other purchasing or consuming histories or tendencies.</i> | <i>Data consortiums, third-party data providers, financial intermediaries such as broker dealers, investment advisers, banks, trust companies, third-party recordkeepers and third-party administrators, service providers and regulatory agencies.</i> |
| Biometric. | Service providers. |
| <i>Internet or other electronic network activity information, including, but not limited to, browsing history, search history, and information regarding a consumer's interaction with an Internet Web site.</i> | <i>Digital advertising firms, online service providers, social media providers, data consortiums, service providers and legal proceedings.</i> |
| Geolocation data. | <i>Digital advertising firms and legal proceedings.</i> |
| Audio, electronic, visual, thermal, olfactory, or similar information. | <i>Financial intermediaries such as broker dealers, investment advisers, banks, trust companies, third-party recordkeepers and third-party administrators, social media providers, service providers, property management, data consortiums, and regulatory agencies.</i> |
| Professional or employment related information. | Online service providers, third-party data services, data consortiums, financial intermediaries such as broker dealers, investment advisers, banks, trust companies, third-party recordkeepers and third-party administrators, service providers and regulatory agencies. |
| <i>Education information, defined as information that is not publicly available personally identifiable information as defined in the Family Educational Rights and Privacy Act (20 U.S.C. section 1232g, 34 C.F.R. Part 99).</i> | <i>Data consortiums, service providers, and financial intermediaries such as broker dealers, investment advisers, banks, trust companies, third-party recordkeepers and third-party administrators.</i> |
| <i>Inferences drawn from any of the information identified in this subdivision to create a profile about a consumer reflecting the consumer's preferences, characteristics, psychological trends, predispositions, behavior, attitudes, intelligence, abilities and aptitudes.</i> | Service providers. |

Lime Trading does not disclose personal information to third parties other than as provided in this Notice.

[Do Not Sell My Personal Information](#)