

Annual Disclosure to Customers

Privacy Statement. We collect non-public personal information about you from the following sources: Information from your application or other forms; information about your transactions with our affiliates, others; or us and information we may receive from consumer reporting agencies. We do not disclose any nonpublic personal information about our customers or former customers to any one, except as permitted by law. We restrict access to your personal and account information to those employees and our affiliates who need to know that information to provide products and services to you. We maintain physical, electronic, and procedural safeguards to guard your non-public personal information. Please refer to the full text of our Privacy Policy. Should you need to update your records, or have any questions regarding Stockpile's Privacy Policy, please send your request to Stockpile Investments, Attn: Compliance Department, 548 Market St. PMB 61216 San Francisco, CA 94104-5401 or emailing support@stockpile.com. You may also visit Stockpile's website at www.stockpile.com. Any changes to the policy will be reflected on the website and in the Annual Disclosure Notice sent to you.

Business Continuity. During times of local or national emergencies, the office may be closed and every attempt to return to normal business operations will be made. Our Business Continuity Plan addresses varying degrees of business disruption. If after a significant business disruption you cannot contact us as you usually do at the San Francisco, CA office, you may email support@stockpile.com. Our Business Continuity Plan is subject to modification and be updated annually and whenever necessary. Therefore, any changes and updated information will be distributed in writing as required or promptly posted on the Firm's Website located at www.stockpile.com. Alternatively, customers may obtain a copy of the Firm's business continuity plan by requesting a written copy in writing to Stockpile Investments, Attn: Compliance Department, 548 Market St. PMB 61216 San Francisco, CA 94104-5401. If you have any questions regarding the Firm's business continuity plan, contact support@stockpile.com.

Clearing Firm. Apex ("Clearing Firm") is a broker-dealer and member of the NYSE and FINRA and acts as the designated clearing firm for the Firm. The Clearing Firm has also developed a business continuity plan and conducts periodic testing of their own back-up capabilities to ensure that, in the event of an emergency or significant business disruption, they will be able to provide the Firm with the critical information and applications needed to continue or promptly resume business. More detailed information can be found at www.apexclearing.com.

Customer Identification Program. Important Information About Procedures for Opening a New Account or Establish a Client Relationship: To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person or entity who opens an account or establishes a relationship with our firm. What this means for you: When you become a customer or establish a relationship with us, we will ask for your name, address, date of birth, entity formation place/date and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents.

FINRA BrokerCheck. FINRA BrokerCheck, formally known as the FINRA's Public Disclosure Program, allows investors to learn about the professional background, business practices, and conduct of FINRA member firms or their brokers. The telephone number of the FINRA BrokerCheck is 800-289-9999, the website address www.brokercheck.finra.org. An investor brochure is also available upon request.

Complaints. Complaints regarding your account may be directed to Stockpile Investments, Attn: Compliance Department, 548 Market St. PMB 61216, San Francisco, CA 94104-5401 or emailing support@stockpile.com.

Account Fees and Service Charges. Stockpile does not have account fees or service charges..



Member FINRA/ SIPC

548 Market St. PMB 61216
San Francisco, CA 94104
www.stockpile.com

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FINRA Rule 2261. Disclosure of Financial Condition to Customers Upon written request the firm will provide a copy of its audited financials to any customer that requests it. Please send your request to Stockpile Investments, Attn: Compliance Department, 548 Market St. PMB 61216, San Francisco CA 94104-5401.

FINRA Rule 2266. You may obtain more information about the Securities Investor Protection Corporation (SIPC) coverage on your brokerage account by contacting the firm or requesting a SIPC brochure. SIPC's website is www.sipc.org and the telephone number is 202-371-8300.

SEC Rule 606. Pursuant to SEC Rule 606, Apex is required to make publicly available a quarterly report with regard to its routing of non-directed orders. For the purpose of this Rule, we have entered into an agreement with Quantum5 Market Surveillance (a Division of S3 Matching Technologies) to disclose all required information pertaining to this rule. This information can be accessed on the internet at: <http://public.s3.com/rule606/apex/> (Revised 04/2022)