

FACTS**WHAT DOES John W. Rosenthal Capital Management, Inc. (“JWRCM”) 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?

The types of personal information we collect and share depend on the product or service you have with us. This information can include:

- social security number and income
- account balances and payment history
- transaction or loss history and employment information

When you are no longer our customer, we continue to share your information as described in this notice.

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 JWRCM chooses to share; and whether you can limit this sharing.

| Reasons we can share your personal information | Does JWRCM 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 don’t share |
| For our affiliates’ everyday business purposes— information about your transactions and experiences | No | We don’t share |
| For our affiliates’ everyday business purposes— information about your creditworthiness | No | We don’t share |
| For our affiliates to market to you | No | We don’t share |
| For nonaffiliates to market to you | No | We don’t share |

Questions?

Call John W. Rosenthal at 574-243-6502.

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| Who we are | |
| Who is providing this notice? | John W. Rosenthal Capital Management, Inc. |
| What we do | |
| How does JWRCM 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 JWRCM collect my personal information? | <p>We collect your personal information, for example, when you:</p> <ul style="list-style-type: none"> ▪ open an account and deposit money ▪ pay your bills and give us your income information ▪ provide account information and give us your contact information ▪ pay us by check and give us your wage statements <p>We also collect your personal information from other companies, credit bureaus or affiliates.</p> |
| Why can't I limit all sharing? | <p>Federal law gives you the right to limit only:</p> <ul style="list-style-type: none"> ▪ sharing for affiliates' everyday business purposes—information about your creditworthiness ▪ affiliates from using your information to market to you ▪ sharing for nonaffiliates to market to you |
| Definitions | |
| Affiliates | <p>Companies related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> ▪ John W. Rosenthal Capital Management, Inc.'s affiliates are ▪ RPCA Financial Ventures L.P. ▪ RPCA Financial Ventures QP L.P. ▪ RPCA Opportunistic Financial Ventures L.P. ▪ Rosenthal Income Strategies Fund, L.P. |
| Nonaffiliates | <p>Companies not related by common ownership or control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> ▪ JWRCM does not share with nonaffiliates so they can market to you. |
| Joint marketing | <p>A formal agreement between nonaffiliated financial companies that together market financial products or services to you.</p> <ul style="list-style-type: none"> ▪ JWRCM doesn't jointly market. |