



## FACTS

### WHAT DOES ALPHA DOG ADVISORS (a/k/a GEA SPHERE) DO WITH YOUR PERSONAL INFORMATION?

#### Why?

Financial companies can choose whether and 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:

- Name
- Address
- Phone numbers
- E-mail addresses
- Government-issued identification numbers (e.g., social security numbers)
- Brokerage accounts and transactions

When you are *no longer our client*, we may 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 reason we, Alpha Dog Advisors, may choose to share; and whether you can limit this sharing.

Reason we can share your personal information	Does Alpha Dog Advisors share?	Can you limit this sharing?
<b>For our everyday business purposes —</b> such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
<b>For our marketing purposes —</b> to offer our products and services to you	No	No
<b>For joint marketing with other financial companies</b>	No	No
<b>For our affiliates' everyday business purposes —</b> information about your transactions and experiences	No	No
<b>For our affiliates' everyday business purposes —</b> information about your creditworthiness	No	No
<b>For our affiliates to market to you</b>	No	No
<b>For nonaffiliates to market to you</b>	No	No

#### Questions?

Call (401) 351-4900 or go to [www.alphadogadvisor.com](http://www.alphadogadvisor.com)

## Who we are

<b>Who is providing this notice?</b>	<b>Alpha Dog Advisors</b>
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## What we do

<b>How does Alpha Dog Advisors protect my personal information?</b>	<p>We restrict access to your nonpublic personal information to those employees who need to know that information to service your account.</p> <p>We maintain physical, electronic, and procedural safeguards that comply with applicable federal or state standards to protect your nonpublic personal information.</p> <p>Contracts with our service providers require them to restrict access to your non-public personal information, and to maintain physical, electronic and procedural safeguards against unintended disclosure.</p>
<b>How does Alpha Dog Advisors collect my personal information?</b>	<p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"> <li>▪ open an account or enter into an investment advisory contract</li> <li>▪ provide account information or give us your contact information</li> <li>▪ make a wire transfer</li> </ul>
<b>Why can't I limit all sharing?</b>	<p>Federal law gives you the right to limit only</p> <ul style="list-style-type: none"> <li>▪ sharing for affiliates' everyday business purposes — information about your creditworthiness</li> <li>▪ affiliates from using your information to market to you</li> <li>▪ sharing for nonaffiliates to market to you</li> </ul> <p>State laws and individual companies may give you additional rights to limit sharing</p>

## Definitions

<b>Affiliates</b>	Companies related by common ownership or control. They can be financial and nonfinancial companies.
<b>Nonaffiliates</b>	Companies not related by common ownership or control. They can be financial and nonfinancial companies.
<b>Joint marketing</b>	<p>A formal agreement between nonaffiliated financial companies that together market financial products or services to you.</p> <ul style="list-style-type: none"> <li>▪ Alpha Dog Advisors does not jointly market.</li> </ul>

## Other Important Information

Our policy about obtaining and disclosing information may change from time to time. We will notify you of any material change to this policy before we implement the change.