

Compliance Manual

Exhibit D: Privacy Policy Notice

Rev. February 2025

FACTS	WHAT DOES PCM Encore, LLC DO WITH YOUR FINANCIAL 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 depends on the product or service you have with us. This information can include: <ul style="list-style-type: none"> ▪ Social Security number and income ▪ Account balances and assets ▪ Transaction history 	
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 PCM Encore, LLC chooses to share; and whether you can limit this sharing.	
Reasons we can share your personal information	Does PCM Encore, LLC 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 or to connect you with partner companies through websites owned and operated by PCM Encore, LLC. Note: Information collected, including name, phone number, assets under management (AUM), and other relevant details , may be shared with partner companies for referral purposes. However, no mobile-originated text data or sensitive information will be shared without explicit consent.	Yes	No
For joint marketing with other financial companies	Yes	Not Applicable
For our affiliates’ everyday business purposes – information about your transactions and experiences	No	Not Applicable
For our affiliates’ everyday business purposes – information about your creditworthiness	No	Not Applicable
For our affiliates to market to you	No	Not Applicable
For nonaffiliates to market to you	Yes	Not Applicable
Questions?	Call (425) 214-1755 or visit www.encoreinvestment.com	

Compliance Manual

Exhibit C: Electronic Communications Practices

Page 2	
Who we are	
Who is providing this notice?	PCM Encore, LLC
What we do	
How does PCM Encore, LLC 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 building.
How does PCM Encore, LLC collect my personal information?	<p>We collect your personal information, for example, when you:</p> <ul style="list-style-type: none"> ▪ Open an account ▪ Deposit money ▪ Seek advice about your investments ▪ Enter into an investment advisory contract ▪ Tell us about your investment or retirement portfolio or earnings <p>We also collect your personal information from other companies.</p>
Definitions	
Affiliates	<p>Companies related by common ownership and control. They can be financial and nonfinancial companies.</p> <ul style="list-style-type: none"> ▪ <i>We currently have no affiliates.</i>
Nonaffiliates	<p>Companies not related by common ownership and control. They can be financial or nonfinancial companies.</p> <ul style="list-style-type: none"> • <i>We may share limited personal information (e.g., name, contact information, assets under management) with nonaffiliates as part of our referral agreements or solicitation activities. These nonaffiliates may include financial services companies with whom we have agreements to refer prospective clients in exchange for compensation.</i>
Joint marketing	<p>A formal agreement between nonaffiliated financial companies that together market financial products or service to you.</p> <ul style="list-style-type: none"> ▪ <i>We may engage in joint marketing with nonaffiliated financial companies to connect you with their products or services as part of our referral agreements or business development efforts.</i>