



**INNOVATION  
IS KEY TO  
GROWTH**

# Notice of Privacy Policies and Practices

ARK Investment Management LLC (“ARK”)

ARK is committed to protecting our clients’ privacy. We do not share or disclose any non-public personal information about our current or former clients, except as permitted by law and further described below.

## **Information We Collect**

ARK may collect personal information including, but not limited to, (i) through submission of account documentation (such as by forms that include the client’s name, e-mail and postal addresses and phone number and related information), (ii) through our website, email and social media, (iii) via written or verbal communications or (iv) by receipt of information relating to account set up and/or transaction activity. ARK uses this information to effect, administer and/or enforce the client’s requests and transactions. We may also collect certain due diligence information, as required by applicable law and regulation, through third-party service providers.

## **Disclosure of Client Information**

In order to service the client account and effect transactions, ARK, in accordance with applicable law, may provide the client’s non-public personal information to firms that assist ARK in servicing the client account, such as third-party administrators, custodians and broker-dealers. ARK also may provide the client’s name and address to one of its agents for the purpose of mailing account statements and other information about ARK’s products and services to the client. ARK generally requires these entities to protect the confidentiality of client information and to use the information only for the purpose for which the disclosure is made. Otherwise, we do not disclose your non-public personal information unless we first offer you a reasonable opportunity to refuse or “opt out” of such disclosure, or as otherwise permitted by law. You will receive notification on how to opt out before any such sharing takes place. ARK may also disclose non-public personal information of clients to other parties as permitted by law. For example, ARK may provide non-public personal information to government entities or regulatory bodies in response to requests for information or subpoenas. ARK’s privacy policies and practices apply to non-public personal information of current and former clients who are natural persons and may be modified from time to time.

## **Protecting Client Information**

In addition to the above limitations on non-public personal information, ARK maintains physical, electronic and procedural safeguards to protect our clients’ non-public personal information. ARK does not sell customer lists or individual client information. ARK considers privacy fundamental to its client relationships and adheres to the policies and practices described herein to protect current and former clients’ information. Internal policies are in place to protect confidentiality, while also allowing client needs to be served. Only individuals who have a business need to know in carrying out their job responsibilities may access client information. ARK maintains physical, electronic and procedural safeguards that comply with federal and state standards to protect confidentiality. These safeguards extend to all forms of interaction with ARK, including the internet. These safeguards may vary based on the sensitivity of the information that we collect and store. However, we cannot and do not guarantee that these measures will prevent every unauthorized attempt to access, use or disclose your information since, despite our efforts, no internet and/or other electronic transmissions can be completely secure.

If you have any questions about this notice, please contact ARK’s Compliance team at (727) 810-8160.