



PRIVACY POLICIES AND PRACTICES FOR OUR CLIENTS

The following describes how Sprott Global Resource Investments, Ltd. (SGRIL) handles your personal information, and what steps we take to protect your privacy. We do not disclose your personal information to any unaffiliated third party for marketing purposes. If you close your account with us or otherwise become a former customer, we will continue to treat your nonpublic, personal financial information as described in this policy.

Who we are: SGRIL is an introducing broker/dealer. Our firm has a contractual agreement with RBC Correspondent Services (RBC), a division of RBC Capital Markets, LLC, member NYSE/FINRA/SIPC, to serve as our clearing firm. This fully disclosed agreement states the responsibilities of each party. Prior to the agreement becoming effective, RBC is responsible for making all disclosures to our firm's designated examining authority as required by NYSE Rule 382. Each client of our firm is notified of the relationship via a disclosure letter. The disclosure letter details the responsibilities that our firm (the introducing broker-dealer) and RBC have to the client. Although client assets are held by RBC, no RBC entity has responsibility for the financial condition or performance of our firm or our Financial Consultants.

Confidentiality and security: SGRIL uses procedural, physical and electronic system safeguards to store and secure information about you in compliance with federal standards. Our systems protect your information from unauthorized access, alteration and destruction. Access is permitted only to those individuals within our organization who need the information to perform their job responsibilities.

Where we get information: The information we collect about you comes primarily from your SGRIL New Account Documentation. This includes such information as your name, address and social security number that you may have provided on these applications, agreements or other forms. In addition, we maintain records of each of your transactions and holdings at our clearing firm.

To whom we disclose the information: We provide information about current or former clients from the sources described above to parties outside SGRIL only as described below:

- To our clearing firm, RBC, in order to process activities for your investment account(s) with SGRIL, the clearing firm handles all custody functions, processes & settles trades, transmits 1099 reporting to the IRS, sends monthly statements of your account(s), etc.
- To companies with whom we have joint marketing agreements. A joint marketing agreement is one in which another financial institution offers a product or service jointly with SGRIL such as providing credit card access to your account. These institutions are prohibited by agreement from using information about you except for the narrow purpose for which we gave it to them.
- To other companies as necessary to process your business. For example our clearing firm transmits your account and transactional information to the company that prints your account statements. Third parties in the category, like those in the category above, must limit their use of the information to the purpose for which it was provided.
- Where required by law or regulation. Examples include responses to a subpoena, court order or regulatory demand.
- As authorized by you. You may direct us, for example, to send your account statements and trade confirmations to a third party or request bank wire transmissions.
- As otherwise authorized, permitted by law or you. For example, the law permits us to respond to requests for information about you from a consumer-reporting agency.

SGRIL employees use information about you to respond to your needs and to provide you with information about specific products in which you may have an interest. We instruct our employees to use strict standards of care in handling the personal and confidential information of customers. We remind them regularly of their obligations regarding the confidentiality of customer information.

Option to opt out and change notices: If for any reason at any time in the future, we find it necessary to disclose any of your personal information in a way that is inconsistent with this policy, we will give you advance notice of the proposed change and the opportunity to opt out of such disclosure.