

SOUND POINT CALIFORNIA PRIVACY NOTICE

Effective Date: July 1, 2023

This Privacy Notice (“Notice”) explains how Sound Point Capital Management, LP (“Sound Point Capital”) and our affiliated entities (collectively, “Sound Point”, “we”, “us”, or “our”) may collect, use, and disclose personal information of California consumers. This Notice supplements our other privacy policies and notices, including our online **Privacy Policy**. In the event of a conflict between any other policy, statement, or notice and this Notice, this Notice will prevail as to California consumers.

Unless otherwise noted, the disclosures that describe how and why we collect, use, and disclose personal information also describe how we have collected, used, and disclosed personal information in the preceding twelve (12) months.

COLLECTION, USE, AND DISCLOSURE OF PERSONAL INFORMATION

“Personal information” means information that identifies, relates to, describes, is reasonably capable of being associated with, or could reasonably be linked, directly or indirectly, with you. Personal information does not include information that is publicly available, de-identified, or aggregated.

We may collect the following categories of personal information about California consumers. The personal information we collect about you may vary depending on the nature of your interactions with us and may not include all of the examples listed below.

Category of Personal Information	Categories of Sources from which Information was Collected	Purposes for Collection, Use, and Disclosure
Identifiers , such as real name, alias, postal address, unique personal identifier, online identifier, IP address, e-mail address, account name, social security number, driver’s license number, passport number, or other similar identifiers	<ul style="list-style-type: none">• Directly from you• Automatically when you visit our websites• From our service providers or other parties	<ul style="list-style-type: none">• Provide services you request and fulfill requests related to your personal information• Manage website accounts, login credentials, and related records• Facilitate communications with you• Assess your eligibility for employment and manage your application records• Provide access to, customize, analyze, adjust, secure and improve our websites

Category of Personal Information	Categories of Sources from which Information was Collected	Purposes for Collection, Use, and Disclosure
<p>Personal Records described in Cal. Civ. Code § 1798.80(e), such as name, signature, social security number, physical characteristics or description, address, telephone number, passport number, driver’s license or state identification card number, insurance policy number, education, employment, employment history, bank account number, credit card number, debit card number, or other financial information, medical information, or health insurance information</p>	<ul style="list-style-type: none"> • Directly from you • From our service providers or other parties 	<ul style="list-style-type: none"> • Provide services you request and fulfill requests related to your personal information • Manage website accounts, login credentials, and related records • Facilitate communications with you • Assess your eligibility for employment and manage your application records
<p>Characteristics of protected classifications under California or federal law, such as age and date of birth, marital status, race, ancestry, ethnic origin, sex, gender, sexual orientation, gender identity, religion or creed, military or veteran status, medical condition, genetic information, disability</p>	<ul style="list-style-type: none"> • Directly from you 	<ul style="list-style-type: none"> • Provide services you request and fulfill requests related to your personal information • Assess your eligibility for employment and manage your application records
<p>Commercial information, such as records of personal property, products or services purchased, obtained, or considered, or other purchasing or consuming histories or tendencies</p>	<ul style="list-style-type: none"> • Directly from you • From our service providers or other parties 	<ul style="list-style-type: none"> • Provide services you request and fulfill requests related to your personal information • Manage website accounts, login credentials, and related records
<p>Internet or other electronic network activity information, such as browsing history, search history, and information regarding a consumer’s interaction with an internet website application, or advertisement</p>	<ul style="list-style-type: none"> • Automatically when you visit our websites 	<ul style="list-style-type: none"> • Provide services you request and fulfill requests related to your personal information • Manage website accounts, login credentials, and related records • Facilitate communications with you • Provide access to, customize, analyze, adjust, secure and improve our websites

Category of Personal Information	Categories of Sources from which Information was Collected	Purposes for Collection, Use, and Disclosure
Geolocation data , such as location data inferred from your device IP address	<ul style="list-style-type: none"> • Automatically when you visit our websites • From our service providers or other parties 	<ul style="list-style-type: none"> • Provide access to, customize, analyze, adjust, secure and improve our websites
Audio, electronic, visual , or similar information, such as recordings from video calls or images from closed circuit television	<ul style="list-style-type: none"> • Directly from you • From our service providers or other parties 	<ul style="list-style-type: none"> • Facilitate communications with you • Assess your eligibility for employment and manage your application records
Professional or employment-related information , such as occupation; title; company; and information processed as part of the recruitment process, including information included in a resume or cover letter	<ul style="list-style-type: none"> • Directly from you • From our service providers or other parties 	<ul style="list-style-type: none"> • Provide services you request and fulfill requests related to your personal information • Manage website accounts, login credentials, and related records • Assess your eligibility for employment and manage your application records
Inferences used to create a profile reflecting the consumer’s preferences, characteristics, psychological trends, predispositions, behavior, attitudes, intelligence, abilities, and aptitudes	<ul style="list-style-type: none"> • Drawn from the other categories of personal information we collect 	<ul style="list-style-type: none"> • Provide services you request and fulfill requests related to your personal information • Assess your eligibility for employment and manage your application records

We may also collect, use, and disclose the categories of personal information described above to:

- Prevent, investigate, identify, or otherwise take action regarding suspected or actual fraudulent or illegal activity, or any activity that violates or may violate applicable laws, regulations, or legal process and our policies. We may use the information to oversee adherence to our guidelines, to enforce our agreements with you, to prevent fraud and other prohibited or illegal activities and for other legally permissible purposes.
- Comply with applicable laws, regulations, or legal processes, as well as industry standards and our company policies.
- Evaluate or conduct a merger, divestiture, restructuring, reorganization, dissolution, or other sale or transfer of some or all of our assets in which personal information held by us is among the assets transferred.

PERSONAL INFORMATION WE DISCLOSE

We may disclose personal information we obtain to:

- Our affiliates, including our subsidiaries and strategic business partners, who may use your information for purposes similar to the purposes for which we collect such information.
- Service providers and contractors that we retain to perform services on our behalf, including financial service providers, such as administrators, placement agents and prime brokers, who assist Sound Point as part of the ordinary course of servicing investment; marketing companies; customer support specialists; web hosting companies; fulfillment companies, such as companies that coordinate mailings; data analysis firms; and e-mail service providers.
- Professional advisers, including counsel, accountants and auditors, and persons acting in a fiduciary or representative capacity, such as an IRA custodian or trustee.
- Third parties if we believe disclosure is reasonably necessary to comply with any applicable law, regulation, legal process or governmental request and enforce our agreements and policies.
- Service providers, contractors, and third parties to protect the security or integrity of the Sites or our services and products; to protect ourselves, our customers, or the public from harm or illegal activities; or to respond to an emergency which we believe in good faith requires us to disclose data to assist in preventing a death or serious bodily injury.
- Third parties in connection with a sale, merger, liquidation, dissolution, or sale or transfer of any portion of the assets of Sound Point, including negotiations of such transaction.

HOW LONG WE MAINTAIN YOUR PERSONAL INFORMATION

We maintain the categories of personal information described above for as long as is necessary for the purposes described in this Notice or otherwise authorized by law. We generally keep the personal information for as long as one of the following apply: your personal information is reasonably necessary to manage our operations, to manage your relationship with us, or to satisfy another purpose for which we collected the information; your personal information is reasonably necessary to carry out a disclosed purpose that is reasonably compatible with the context in which the personal information was collected; your personal information is reasonably required to protect or defend our rights or property; or we are otherwise required or permitted to keep your personal information by applicable laws or regulations.

Where personal information is used for more than one purpose, we will retain it until the purpose with the latest period expires. For more information about our retention policies, please contact us using the contact details below.

SELLING AND SHARING PERSONAL INFORMATION

We do not Sell or Share for cross-context behavioral advertising the personal information of California Consumers, as those terms are defined in the California Consumer Privacy Act (“CCPA”). We do not have actual knowledge that we sell or share the personal information of consumers under 16 years of age.

YOUR RIGHTS AND HOW TO EXERCISE THEM

Submitting Requests Relating to Your Personal Information. If you are a resident of California, you have the right to submit certain requests relating to your personal information as described below. To exercise any of these rights, please submit a request to marketing@soundpointcap.com or call us at 1-833-217-6665. Please note that, if you submit a request to know, delete or correct, you may be asked to provide additional information for us to verify your identity. You may designate an authorized agent to make a request on your behalf; however, you may still need to verify your identity directly with us before your request can be processed.

Right to Know. You have the right to know what personal information we have collected about you, which includes:

- (1) The categories of personal information we have collected about you, including
 - a. The categories of sources from which the personal information was collected;
 - b. Our business or commercial purposes for collecting, selling, sharing, or disclosing personal information;
 - c. The categories of recipients to which we disclose personal information;
 - d. The categories of personal information that we sold or shared, and for each category identified, the categories of third parties to which we sold or shared that particular category of personal information; and
 - e. The categories of personal information that we disclosed for a business purpose, and for each category identified, the categories of recipients to which we disclosed that particular category of personal information.
- (2) The specific pieces of personal information we have collected about you.

Right to Delete Your Personal Information. You have the right to request that we delete personal information we collected from you, subject to certain exceptions.

Right to Correct Inaccurate Personal Information. If you believe that personal information we maintain about you is inaccurate, you have the right to request that we correct that information.

Right to Opt Out of Sales and Sharing of Personal Information. You have the right to opt out of the sale of your personal information, and to request that we do not share your personal information for cross-context behavioral advertising. We do not Sell or Share the Personal Information of California Consumers, as defined by the CCPA. For this reason, this right is not applicable.

Right to Limit Use and Disclosure of Sensitive Personal Information. We do not use or disclose sensitive personal information for purposes to which the right to limit use and disclosure applies. For this reason, this right is not applicable.

Rights Related to Automated Decision-Making. You have the right to opt out of automated decision-making, including profiling, that we use to evaluate certain personal aspects relating to your performance at work, economic situation, health, personal preferences, interests, reliability, behavior, location, or movements. Because we do not use automated decision-making to evaluate consumers, this right is not applicable.

Right to Non-Discrimination for the Exercise of Your Privacy Rights. If you choose to exercise any of your privacy rights, you also have the right not to receive discriminatory treatment by us.

California Shine The Light

We do not share personal information with third parties or affiliates for those third parties' or affiliates' own direct marketing purposes. California residents may request information about our compliance with this law by contacting us at marketing@soundpointcap.com.

CHANGES TO THIS NOTICE

This Notice may change from time to time. Amendments will be indicated by the Effective Date at the beginning of this Notice.

CONTACT US

If you have any questions about how we handle your personal information, please contact us at:

Sound Point Capital Management, LP
375 Park Avenue, 34th Floor
New York, NY 10152

Email: marketing@soundpointcap.com
Telephone: 1-833-217-6665