

MARINER INVESTMENT GROUP, LLC

Privacy Statement

We recognize and appreciate the importance of respecting the privacy of our clients. We are committed to safeguarding against the unauthorized disclosure of, or access to, the nonpublic personal client information that we acquire. This Privacy Statement summarizes and otherwise describes our current policies and practices pertaining to the acquisition and disclosure of nonpublic personal information of prospective, current and former clients. Please be advised that we may elect to change our Privacy Policy periodically. If material changes are made to this Privacy Statement or any related policies and practices, we will notify our clients regarding such changes.

We limit the collection, retention and use of client information to the minimum amount required by law in order to properly serve our clients. The information collected includes, but is not limited to, the names, addresses, social security numbers, assets and annual income statements of our clients.

We collect nonpublic personal information about our clients from the following sources:

- Information received from clients in subscription agreements or other forms; and
- Information relating to transactions with us or our affiliates.

We emphasize to our employees the confidential nature of client information and the high level of importance we place on maintaining confidentiality. In order to properly service client accounts and effect client transactions, we may provide personal client information to affiliates and to firms that assist us in servicing the accounts of our clients. Such information includes;

- Information received from clients on applications or other forms, such as client names, addresses, social security numbers, assets and annual income; and
- Information about client transactions with us or our affiliates.

We require third party service providers to protect the confidentiality of personal client information, and to use acquired information only for the purposes for which it has been disclosed. We do not otherwise provide information about our clients to outside firms, organizations or individuals, except to our attorneys, accountants and auditors as permitted by law. We have developed policies and procedures reasonably designed for our business to ensure that "Consumer Report Information" is appropriately destroyed when no longer in use or under our control.

We are satisfied that all third party service providers engaged by us maintain physical, electronic, and procedural safeguards that both comply with federal regulations and protect against the unauthorized usage or disclosure of the nonpublic personal information of our clients.