

## Information for Law Enforcement Authorities

The following operational guidelines are for law enforcement officials or authorized government agencies seeking certain records from Aspencore Investments Markets, Inc. (“ACIM”), including any of its

affiliates (Aspencore Investments Financial LLC (“ACIF”) Aspencore Investments Securities, LLC (“ACIS”), Aspencore Investments Money, LLC (“ACIM”), or Aspencore Investments Crypto, LLC (“ACIC”)) (collectively, “Aspencore”).

Aspencore appreciates the work of authorized government agencies and law enforcement authorities around the world to keep people and communities safe. Upon receipt, Aspencore is prepared to review, validate, and respond to law enforcement requests based on applicable law and policy. This information may be updated at any time.

### Submission of Law Enforcement Requests

To ensure a timely response by Aspencore, law enforcement authorities and authorized government agencies should send all subpoenas or requests to [LERequests@aspencore.com](mailto:LERequests@aspencore.com).

Please do not send law enforcement inquiries to Aspencore Support or any other channel not intended for law enforcement. If you do so, you should expect longer response times.

Acceptance of legal process through the [LERequests@aspencore.com](mailto:LERequests@aspencore.com) email is for convenience purposes only. Aspencore does not waive, and does not intend to waive, any potentially applicable objections, including lack of jurisdiction or proper service. Aspencore will not respond to correspondence sent by non-law enforcement officials sent to the email address above.

### United States Legal Process Requirements

Aspencore discloses account records in accordance with its Privacy Policy, ACIF and ACIS Financial Privacy Notice, ACIF-ACIS Customer Agreement, Terms and Conditions, and applicable law. Under U.S. law, a valid subpoena or document request issued by an authorized government agency or law enforcement official is required to compel the disclosure of account or customer information.

Aspencore will search for and disclose information that is specified with particularity in an appropriate form of legal process and which we are reasonably able to locate and retrieve. As stated in our Privacy Policy and ACIF and ACIS Financial Privacy Notice, we may collect, use, preserve, and disclose customer or account information if we believe that it is reasonably necessary or required by any applicable law, legal process, court order, or legal investigation, or to protect and defend the rights, interests, safety, and security of Aspencore , our users, or the public.

#### Form of Requests

Aspencore accepts to oblige to the terms and policy of the Securities and Exchange Commission (SEC) under any circumstances.

The Office of the Comptroller of the Currency rules, regulations and policy will be obliged by Aspencore and Aspencore will take full responsibilities of any actions.

#### Form of Requests

We will be unable to process overly broad or vague requests. All requests must identify the requested records with particularity and include the following information:

- The name of the issuing authority, badge or ID number of responsible agent, email address from a law enforcement domain and direct contact phone number; and
- The Aspencore account number.

Aspencore exercises reasonable efforts to respond in a timely manner to subpoenas that are validly issued and served in full compliance with applicable law. Responses can take approximately 30-45 days from receipt to complete depending on the complexity of your request. For a quicker response, please (i) limit the scope of your subpoena to only those records necessary for your legal matter; (ii) identify, if possible, the applicable Aspencore entity(ies) to whom your request is directed; and (iii) ensure your subpoena clearly lists uniquely identifying information, such as an account number or social security number.

#### Notification

Aspencore reserves the right to notify customers who use our services of requests for their information prior to disclosure, unless we are prohibited by law from doing so or in exceptional circumstances, emergencies, or when notice would be counterproductive.

#### Testimony

Aspencore does not provide expert testimony support. Aspencore records are self-authenticating pursuant to law and should not require the testimony of a records custodian. If a special form of certification is required, please attach it to your subpoena or document request.

#### Fees for Compliance

Aspencore reserves the right to charge reasonable administrative fees (unless otherwise prohibited by law) for the production of documents in response to any subpoena. Such fees apply on a per account basis. We may also charge additional fees for costs incurred in responding to unusual or burdensome requests. Aspencore reserves the right to waive such fees in matters investigating potential harm to Aspencore, its customers, and emergency requests.

#### Levies, Garnishments, and Seizures

For information on law enforcement or government requests that involve the turnover of funds such as a tax levy, garnishment, or seizure, please email your inquiry to [accountrestraints@aspencore.com](mailto:accountrestraints@aspencore.com) and it will be processed.

Civil requests and debt collection firms should serve Aspencore through its registered agent:

Incorporating Services Ltd.

#### Updates to the Guidelines

Aspencore may update this information periodically. Please consult the guidelines before making any request.