

Privacy Policy

RCB Fund Services, LLC (“RFS”) has been appointed by the United States Securities and Exchange Commission (“SEC”) as Administrator for the JPMorgan Chase & Co. SEC Fair Fund, which was created by the SEC to compensate investor victims. In the course of administering the JPM Fair Fund, RFS will have access to personal information submitted by, or on behalf of, claimants. RFS has created this Privacy Policy to identify the types of personal information RFS may obtain in the course of the administration, either from you or your representative and to inform you of how RFS may use that information.¹

This policy outlines RFS’s principles and guidelines regarding the types of personal information we gather, how we use it, and how we secure it.

The Information RFS Collects

This Privacy Policy applies to all personal information collected by or submitted to RFS. RFS may collect information in a number of ways, including personal information provided directly from a claimant either in a Claim Form or through the RFS website, or personal information provided by a broker or other intermediary acting on a claimant’s behalf. Some examples of the personal information RFS collects may include: name, address, e-mail address, phone number, social security number and other relevant brokerage account information.

Use of the Information

The personal information you provide will be used by RFS only as necessary to administer your claim during the claims administration process. RFS may also use the personal information to respond to your inquiries or to comply with applicable laws and regulations. Your personal information will be entered into our secure database, which will allow RFS to create a record for each potentially eligible claimant.

Transfer of Information

In administering your claim, RFS may share personal information with the SEC solely for the purpose of furthering the claims administration process. RFS may also share personal information with subcontractors and professional service providers that are assisting in the claims administration process. All subcontractors and professional service providers will only use the personal information to perform their duties in connection with the claims administration process. RFS will ensure the adequacy of each third party’s

¹ RFS complies with the U.S.-EU Safe Harbor Framework and the U.S.-Swiss Safe Harbor Framework as set forth by the U.S. Department of Commerce regarding the collection, use, and retention of personal information from European Union member countries and Switzerland. RFS has certified that it adheres to the Safe Harbor Privacy Principles of notice, choice, onward transfer, security, data integrity, access, and enforcement. To learn more about the Safe Harbor program, and to view RFS’s certification, please visit <http://www.export.gov/safeharbor/>.

privacy protection, and if necessary, will script and enter into a written agreement with such third party requiring the third party to provide at least the same level of privacy protection as is required herein.

RFS will only provide an individual's personal information to a third party if the disclosure is reasonably related and necessary to complete the claims administration process, and the use of the information is consistent with the purpose for which the information was obtained. Information collected by RFS is not used for marketing purposes. RFS does not sell personal information and does not use or otherwise disclose personal information for any purpose other than the administration of an individual's claim.

Data Security

RFS stores and protects the personal information it collects with adequate security measures designed to prevent unauthorized access, disclosure, alteration, destruction and use of personal information entrusted to RFS. The security measures are reviewed regularly to ensure their adequacy and effectiveness.

Access to Personal Information

Upon request, RFS will provide individuals reasonable access to their personal information held by RFS, and RFS will provide individuals an opportunity to correct, amend or delete information that is inaccurate or incomplete. As a security precaution, RFS will require adequate proof of identification before providing access to personal information. RFS retains the right to limit or deny access to personal information when providing such access would be unreasonably burdensome or expensive under the circumstances.

Enforcement

RFS utilizes the self-assessment approach to assure its compliance with this privacy policy. Any RFS employee acting in violation of this policy will be subject to disciplinary action up to and including termination.

Any questions or concerns regarding the use or disclosure of personal information should be directed to RFS at the email or phone number provided below. RFS will investigate and resolve complaints and disputes regarding the use and disclosure of personal information in accordance with the terms of this policy. With respect to any complaints relating to this privacy policy that cannot be resolved internally, RFS has agreed to participate in the dispute resolution procedures of the European Union Data Protection Authorities ("DPAs") or the Swiss Federal Data Protection and Information Commissioner (FDPIC) to resolve disputes according to the Safe Harbor Principles.

Contact Information

If you have any questions, concerns or comments about the RFS privacy policy you may contact us either:

By e-mail: info@jpmsecfund.com

By Phone: (866) 578-3658

Privacy Statement Changes

RFS reserves the right to make any necessary changes to this policy without notice, and any changes to this policy will be promptly posted on this website.

Effective Date: December 16, 2014