



## **GOLDENTREE ASSET MANAGEMENT LP**

### **Privacy Notice to California Investors**

**Last Updated: February 3, 2023**

Your privacy is very important to us. This California Consumer Privacy Act (“CCPA”) notice (“California Privacy Notice”) is provided by GoldenTree Asset Management LP (“Fund”, “we” or “us”) and sets forth the policies of the Fund with respect to the collection, use, sharing and protection of non-public personal information of the Fund’s investors, prospective investors and former investors. These policies apply to individuals and Individual Retirement Accounts only and may be changed at any time, provided a notice of such change is given to you. The California Privacy Notice is incorporated into the Fund’s general privacy policy. In the event of a conflict between this California Privacy Notice and any of our other privacy policies, this California Privacy Notice shall control for California residents and their personal information. Please read this California Privacy Notice carefully to understand what we do.

### **The California Consumer Privacy Act**

The CCPA imposes certain obligations on us and grants certain rights to California resident investors (“California Resident,” “you,” or “your”) with regard to “personal information.” If you are a California Resident, please review the following information about your potential rights under the CCPA. The rights described herein are subject to exemptions and other limitations under applicable law.

Terms used herein have the meaning ascribed to them in the CCPA. We are a “business.” “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 a California Resident or a household. It does not include de-identified information, aggregate consumer information or publicly available information, as those terms are defined in the CCPA.

### **Purposes for Collecting and Using Personal Information**

We may collect or use your personal information for the following business or commercial purposes: (i) performing services on our behalf, including maintaining or servicing accounts, providing customer service, processing transactions, verifying information, processing payments, or providing similar services; (ii) performing our contractual obligations to a California Resident, including processing initial subscriptions and providing updates on our performance and other operational matters; (iii) detecting security incidents, protecting against malicious, deceptive, fraudulent, or illegal activity, including preventing fraud and conducting “Know Your Client,” anti-money laundering, terrorist financing, and conflict checks; or (iv) enabling or effecting commercial transactions, including using bank account details to remit funds and process distributions.

### **Categories of Personal Information We Collect**

We may collect the following categories of personal information from or about a California Resident within the past 12 months when engaging with our business and services: (i) identifiers and similar information such as, name, address, date of birth, email address, social security number, driver's license number, or passport number; (ii) certain information protected under certain federal or state laws such as a signature or bank account or other financial information; (iii) characteristics of protected classifications under federal or certain state laws, including gender, national origin, or marital status; (iv) commercial information, including records of products or services purchased or other purchasing histories or tendencies, including funds invested, investments considered, or sources of wealth; (v) internet or other electronic network activity information, including interactions with our website or use of certain online tools (e.g., cookies, browsing history, or search history); (vi) professional or employment-related information, including occupation, compensation, employer, and title; and (vii) inferences drawn from any of the information identified above to create a profile reflecting your preferences or similar information, including your potential interest in investing in new funds. We may disclose for a business purpose all or just a few of these types of personal information.

#### Sources of Personal Information

We may collect personal information about you directly from you and/or your intermediaries through sources such as: (i) account applications, subscription agreements, and other forms; (ii) written, electronic, or verbal correspondence with us or our service providers; (iii) investor transactions; (iv) an investor's brokerage or financial advisory firm, financial advisor, or consultant; and/or (v) from information captured on applicable websites. In addition, we may collect personal information from different sources, such as: (i) our affiliates, our service providers, or our affiliates' service providers; (ii) public websites or other publicly accessible directories and sources, including bankruptcy registers, tax authorities, governmental agencies and departments, and regulatory authorities; and/or (iii) from credit reporting agencies, sanctions screening databases, or from sources designed to detect and prevent fraud.

#### Sharing Personal Information with Third Parties

We may share your personal information by disclosing it to third parties for a business purpose in circumstances where we believe in good faith that disclosure is required or permitted under law, to cooperate with regulators or law enforcement authorities, to protect our rights or property, or upon reasonable request by the fund in which you have invested. We also may disclose personal information about you or your accounts to a third party at your request or direction or with your consent. We may disclose your personal information to our service providers, other entities that have agreed to limitations on the use of your personal information, or entities that fit within other exemptions or exceptions in or as otherwise permitted by the CCPA or other applicable laws.

In the preceding twelve (12) months, we disclosed the following categories of personal information to third parties for a business purpose:

- Information about our investors, prospective investors or former investors to affiliates (*i.e.*, financial and non-financial companies related by common ownership or control);

- Information about our investors, prospective investors or former investors to non-affiliates (*i.e.*, financial or non-financial companies not related by common ownership or control) for our everyday business purposes, such as to process your transactions, maintain your account(s), respond to court orders and legal investigations.
- Information about our investors, prospective investors or former investors to comply with anti-money laundering and similar laws, to disclose information about the Fund's investors in order to accept subscriptions from them.
- Information about our investors, prospective investors or former investors to our affiliates for marketing purposes, such as to offer our or their products and services to you.
- Information you provide to us to non-affiliated companies that perform marketing services on our behalf, such as the Fund's placement agent.

We do not share information about your credit worthiness with our affiliates for their everyday business purposes. We also do not sell or rent your personal information.

As noted, we may share your personal information with our affiliates to market to you. You may prevent this type of sharing by calling us at 212-847-3500. If you are a *new* investor, we can begin sharing your information 30 days from the date we sent this California Privacy Notice. When you are *no longer* our investor, we may continue to share your information as described in this California Privacy Notice. However, you may contact us at any time to limit our sharing. If you limit sharing for an account you hold jointly with someone else, your choices will apply to everyone on your account. State laws may give you additional rights to limit sharing.

#### Data Retention

We retain the categories of personal information described above as reasonably necessary to fulfill the purposes outlined in this California Privacy Notice, unless a longer retention period is required or permitted by law. In many situations, we must retain all, or a portion, of your personal information to comply with legal obligations, resolve disputes, enforce our agreements, protect against fraudulent, deceptive, or illegal activity, or for another one of our business purposes.

#### California Residents' Rights Under the CCPA

If your personal information is subject to the CCPA, you may have certain rights concerning that information, subject to applicable exemptions and limitations, including the right to: (i) be informed, at or before the point of collection, of the categories of personal information to be collected and the purposes for which the categories of personal information shall be used; (ii) not be discriminated against because you exercise any of your rights under the CCPA; (iii) request that we delete any personal information about you that we have collected or maintained, subject to certain exemptions or exceptions ("request to delete"); and (iv) request that we, as a business that collects personal information about you and that discloses your personal information for a business purpose, disclose to you ("request to know"): (a) the categories of personal information we have collected about you; (b) the categories of sources from which we have collected the personal information; (c) the business or commercial purpose for collecting the personal information; (d) the categories of third parties with whom we share personal

information; (e) the specific pieces of personal information we have collected about you; and (f) the categories of personal information we have disclosed about you for a business purpose.

The CCPA does not restrict our ability to do certain things like comply with other laws or comply with regulatory investigations. In addition, the CCPA does not apply to certain information, including, generally, personal information collected, processed, sold or disclosed pursuant to the Gramm-Leach-Bliley Act and its implementing regulations. We also reserve the right to retain, and not to delete, certain personal information after receipt of a request to delete from you where permitted by the CCPA or another law or regulation.

#### How to Submit a Request

Under the CCPA, you may submit requests to know through the following telephone number, 212-847-3500, or through our website at the following link: <https://www.goldentree.com/contact>. You may submit requests to delete by email to [info@goldentree.com](mailto:info@goldentree.com) or by post to:

GoldenTree Asset Management LP  
300 Park Avenue  
21<sup>st</sup> Floor  
New York, NY 10022

We are required to provide certain information or to delete personal information only in response to verifiable requests made by you or your legally authorized agent. Any information gathered as part of the verification process will be used for verification purposes only.

#### Contact for More Information

If you have any questions or concerns about this notice please email [info@goldentree.com](mailto:info@goldentree.com) or call 212-847-3500.