

Client Bill of Rights

We believe that in order to achieve positive results for our clients, we must achieve a professional relationship with our clients that is built on reciprocal trust, courtesy, and respect. P3 Capital treats all clients in a manner consistent with this principle. As a client, you can expect to be treated in accordance with these values as described below.

QUALITY OF SERVICE

You are entitled to a high level of proactive, courteous service from all associates at Polymath Principal Partners, LP (“P3 Capital”).

TRUSTED ADVISORS

You have the right to work with a trustworthy and dependable professional, focused on your goals and objectives.

RECOMMENDATIONS BASED UPON YOUR NEEDS

You have the right to independent and un-conflicted advice and recommendations based upon your defined needs, risk tolerances, and goals.

CONFIDENTIALITY

You have the right to strict confidentiality with information being protected to the highest standards outlined by SEC, FINRA, and regulatory agencies.

TRANSPARENCY

You have the right to a transparent relationship and to clearly know the costs for professional services. It is our duty to be clear and concise in our communications.

PROMPT RESPONSE

As your Trusted Advisor, we commit to returning calls by the end of each business day, setting expectations and clearly defining timelines.

EDUCATION

You have the right to continual education along your journey. Through education, we will project reasonable expectations and achievable scenarios.

BEST EXECUTION

You have the right to receive the best execution in all that we do. All interactions with P3 Capital will be timely, precise, and promptly completed.

ACCURACY

Your statements will identify all account positions held, cash receipts, and disbursements made through P3 Capital.

Client Responsibilities

Your contributions are critical to our success. In order to maximize your investment, clients should be prepared to undertake certain reciprocal responsibilities.

1. The client is expected to treat all P3 Capital staff with courtesy and consideration.
2. The client's relationship must be one of complete transparency and must encompass all facts and circumstances relevant to the service being provided by P3 Capital.
3. The client must honor the fee arrangement as agreed upon in accordance with the law, and may withdraw from any agreements subject to financial commitments under the agreed upon fee arrangement.
4. Although the client has a right to timely responses, the client should recognize all P3 Capital's staff and clients are entitled to equal levels of consideration.
5. The client should notify P3 Capital of any and all life altering events, changes in contact information, or anything that could substantially alter the current relationship, goals, or objectives.
6. The client must respect that P3 Capital has the right to decline to take any actions that we believe are unethical, unlawful, or in violation of industry standards and best practices.
7. The client has an obligation to be accountable for the decisions made. The client needs to be prepared to reflect on their individual objectives, values, and needs, in order to clearly define and develop strategies accordingly.
8. The client must disclose any potential conflicts of interest that could cause harm to other clients of the firm, staff, or the general public.
9. The client is responsible to not act upon or disseminate non-public information regarding the commercial interests of individuals, companies, governments, or organizations.
10. The client is responsible to maintain all original copies of relevant records and materials relating to the services provided by P3 Capital.