# ONLINE PRIVACY NOTICE

How Oak St. handles personal information in connection with its website.

OAK ST. SECURITIES, LLC

Chicago, IL

Dated as of November 2, 2026

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# 1. PURPOSE AND SCOPE

This notice explains what Personal Information Oak St. collects through its website, why it collects it, who it is shared with, how long it is kept, and what choices and rights you may have. This document is OS-L-002, Version 2.0, effective November 2, 2026.

This notice applies to Personal Information collected through the Website. It does not apply to:

(a) Personal Information processed in connection with an Account on the Investor Portal, if and when a portal is activated, which will be covered by a separate notice published before activation;

(b) Personal Information processed in connection with an application for employment, which is covered by Section 16 of this notice;

(c) information about investors or advisory clients that is subject to a financial privacy notice delivered directly to them, if applicable;

(d) the Oak St. Social Media Presence and any third-party platform, which are governed by those platforms' own policies; or

(e) any third-party site reached from the Website through a Link.

Where a notice described in (a) or (c) applies, it controls over this notice to the extent of any conflict.

Use of the Website is also governed by the Terms of Use.

The English language version of this notice controls regardless of any translation.

# 2. WHO IS RESPONSIBLE

Oak St. means Oak St. Securities, LLC and, where the context requires, its Affiliates. Oak St. is the entity that determines the purposes and means of processing described in this notice. Contact details are in Section 19.

# 3. DEFINITIONS

**"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 particular individual or household. Where a data protection law that applies to Oak St. defines "personal information," "personal data," or an equivalent term more broadly, that broader meaning applies for the purposes of that law.

**"Sensitive Personal Information"** means the categories designated as sensitive, special category, or equivalent under an applicable data protection law.

**"Service Provider"** means a third party that processes Personal Information on Oak St.'s behalf and on its documented instructions.

Other capitalized terms have the meanings given in the Terms of Use.

# 4. A NOTE ON DATA MINIMIZATION

Oak St. designs the Website to collect as little Personal Information as it reasonably can. The Website does not require registration, does not use advertising or behavioral tracking technologies, and does not create profiles of visitors. The categories described below are narrow by design, not by omission.

# 5. PERSONAL INFORMATION OAK ST. COLLECTS

5.1 **Information you provide.** Oak St. collects Personal Information you choose to give it, which may include:

your name, email address, telephone number, organization, and role, when you contact Oak St. through a form on the Website or through a published email address;

the content of your message and any attachment you send;

information you provide in connection with an application for employment, which is described in Section 16; and

information you provide if you ask to receive material from Oak St., where that functionality exists.

5.2 **Information collected automatically.** When you visit the Website, information is generated by your browser and by the systems used to operate and secure the Website. This may include:

IP address;

browser type, version, and language;

operating system and device type;

referring and exit pages;

date, time, and duration of your visit;

pages viewed and files requested;

HTTP status and error information; and

other standard request and server log data.

Oak St. uses strictly necessary cookies as described in Section 8. The Website does not use analytics cookies, advertising cookies, pixels, web beacons, session replay, heatmapping, or third-party embedded media. If that changes, this notice will be updated before the change takes effect and, where consent is required, consent will be obtained.

5.3 **Information from other sources.** Oak St. does not purchase Personal Information about Website visitors, and does not obtain Personal Information about Website visitors from data brokers, advertising networks, or social media companies. Oak St. may receive business contact information in the ordinary course of professional dealings, and may receive information from a recruiter if you are introduced by one.

5.4 **Sensitive Personal Information.** Oak St. does not seek Sensitive Personal Information from Website visitors and does not use it to infer characteristics. Please do not send it. If Oak St. becomes aware that Sensitive Personal Information has been submitted through the Website without being requested, Oak St. will delete it unless retention is required by law. Different practices may apply to job applicants, in which case they are described in Section 16.

5.5 **Deidentified information.** Oak St. may hold information that has been deidentified or aggregated so that it no longer identifies any individual. Oak St. will maintain that information in deidentified form and will not attempt to reidentify it, except as permitted by law to test the effectiveness of the deidentification.

# 6. WHY OAK ST. PROCESSES PERSONAL INFORMATION

Oak St. processes Personal Information for the following purposes:

**Responding to you.** Receiving, reviewing, and responding to inquiries, and maintaining a record of correspondence.

**Operating the Website.** Delivering pages, maintaining session state, and supporting core functionality.

**Security.** Protecting the Website and Oak St.'s systems, detecting and investigating suspicious activity, and preventing fraud, impersonation, and abuse.

**Diagnostics.** Identifying and repairing errors and understanding technical faults.

**Recruiting.** Processing applications, as described in Section 16.

**Legal and regulatory compliance.** Meeting obligations under applicable law, responding to lawful requests, and establishing, exercising, or defending legal claims.

**Corporate administration.** Managing Oak St.'s business, including professional advice, audit, insurance, and transactions.

Oak St. does not use Personal Information collected through the Website for behavioral advertising or for automated decision-making that produces legal or similarly significant effects.

**Lawful bases, where relevant.** Where a data protection law requires Oak St. to identify a lawful basis, Oak St. relies on: its legitimate interests in operating, securing, and improving the Website and in communicating with those who contact it; performance of, or steps toward, a contract; compliance with a legal obligation; and, where required, your consent, which you may withdraw at any time without affecting processing carried out before withdrawal.

## 7. WHEN OAK ST. SHARES PERSONAL INFORMATION

Oak St. does not sell Personal Information, and has not sold Personal Information. Oak St. does not share Personal Information for cross-context behavioral advertising or targeted advertising, and does not engage in targeted advertising. "Sell" and "share" here carry the meanings given by applicable state privacy law.

Oak St. may disclose Personal Information to the following categories of recipient:

| Recipient category | Purpose | Identified at |
|---|---|---|
| Affiliates | For the purposes described in this notice | Management company and affiliated entities |
| Hosting, content delivery, and infrastructure providers | Operating and securing the Website | Confidential |
| Email, communications, and productivity providers | Receiving and managing correspondence | Confidential |
| Security providers | Detecting, investigating, and responding to threats | Confidential |
| Recruiting systems and recruiters | Processing applications | Oak St.'s designated recruiting channel; provider information is confidential and available at careers@oakst.vc |
| Professional advisers | Legal, accounting, audit, and insurance services | Not published |
| Government, regulatory, and law enforcement authorities | Where required or permitted by law, including in response to a subpoena, court order, or lawful request | Not applicable |
| A counterparty in a corporate transaction | Where Oak St. is involved in a merger, acquisition, financing, | Not applicable |

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| reorganization, or sale of assets, in which case Personal Information may be among the assets transferred and the recipient will be bound by protections no less protective than this notice |

Oak St. requires Service Providers to process Personal Information only on its instructions, only for the purposes for which it was disclosed, and subject to appropriate confidentiality and security obligations.

Oak St. does not name a vendor in this notice unless that vendor is engaged. Detailed information regarding infrastructure and service-provider relationships is confidential and is available in appropriate diligence settings on request at security@oakst.vc. Privacy-related vendor inquiries may be directed to privacy@oakst.vc.

## 8. COOKIES AND SIMILAR TECHNOLOGIES

The Website uses strictly necessary cookies, which are required for the Website to function and to be secure. They support page delivery, session continuity, load balancing, and protection against abuse. They do not track you across other websites and are not used for advertising or analytics.

The Website does not use analytics cookies, advertising cookies, or any third-party cookies, and no non-essential cookie or similar technology is set without your consent where consent is required.

Because strictly necessary cookies are required for the Website to function, they cannot be switched off through a consent control. You can block or delete cookies in your browser settings, but parts of the Website may then not work.

If Oak St. adds an analytics or other non-essential technology in the future, this notice will be updated before the change takes effect, the technology will be identified here, and, where consent is required, it will not be used until consent has been obtained.

## 9. GLOBAL PRIVACY CONTROL AND DO NOT TRACK

Oak St. honors the Global Privacy Control signal as an opt-out of the sale or sharing of Personal Information and of targeted advertising, where applicable law gives that signal effect. Because Oak St. does not sell or share Personal Information and does not engage in targeted advertising, receiving the signal does not currently change how Oak St. processes your Personal Information. Oak St. honors it regardless.

Oak St. does not respond to Do Not Track browser signals. There is no common industry standard for how a Do Not Track signal should be interpreted, and Oak St. does not represent that it honors one.

## 10. RETENTION

Oak St. keeps Personal Information only for as long as it is needed for the purposes described in this notice, and then deletes it or deidentifies it. In determining how long to keep information, Oak St. considers:

how long the information is needed for the purpose for which it was collected;

the nature and sensitivity of the information;

whether a legal, regulatory, contractual, or recordkeeping obligation requires retention;

whether the information is relevant to an actual or anticipated legal claim, investigation, or regulatory request; and

whether retention is necessary for security or fraud prevention.

Under Oak St.'s current internal retention schedule, website and server logs are retained for ninety days, and general correspondence is retained for twenty-four months from the last substantive interaction unless a longer legal, regulatory, contractual, litigation, security, or recordkeeping period applies. Records of privacy-rights requests are retained for a minimum of two years, or longer where applicable law requires. If Oak St. becomes subject to recordkeeping requirements under the Investment Advisers Act of 1940, retention periods will be adjusted to meet them.

## 11. SECURITY

Oak St. maintains administrative, technical, and physical safeguards designed to protect Personal Information against unauthorized access, use, alteration, disclosure, loss, and destruction, and reviews those safeguards periodically. Access to Personal Information is limited to personnel and Service Providers who need it.

No method of transmission over the internet and no method of electronic storage is completely secure. Oak St. does not represent that the Website or any transmission to or from it is completely secure, and does not describe its safeguards as impenetrable, bank-grade, military-grade, or industry-leading.

Please do not send sensitive personal, financial, account, or identification information to Oak St. by unencrypted email or through a Website form. See the Fraud, Impersonation and Cybersecurity Awareness Notice (OS-L-004).

## 12. INTERNATIONAL TRANSFERS

Oak St. operates from the United States and processes Personal Information there. If you access the Website from outside the United States, your Personal Information will be transferred to and processed in the United States, which may not provide the same level of data protection as your jurisdiction.

Where a transfer of Personal Information is subject to a data protection law that requires a transfer mechanism, Oak St. will rely on a valid mechanism available under that law, which may include an adequacy decision or standard contractual clauses, and will supply further information on request.

## 13. CHILDREN

The Website is not directed to children and Oak St. does not knowingly collect Personal Information from anyone under eighteen. If you believe a person under eighteen has provided Personal Information through the Website, contact Oak St. at the address in Section 19 and Oak St. will delete it.

## 14. YOUR CHOICES

**Correspondence.** You can choose not to contact Oak St. or not to provide information. Most of the Website is available without providing any Personal Information.

**Marketing.** If Oak St. sends you material you asked to receive, each message will include an unsubscribe mechanism. Oak St. will act on an unsubscribe request within a reasonable period. You may still receive operational or legally required communications.

**Browser controls.** You can block or delete cookies and restrict what your browser sends.

## 15. YOUR RIGHTS, WHERE APPLICABLE

The rights available to you depend on the law that applies to you. Oak St. does not represent that any particular law applies to it or to you. Oak St. will honor a request to the extent applicable law requires, and will tell you if a request cannot be honored and why.

Where applicable under law, you may have the right to:

know or access the Personal Information Oak St. holds about you, the categories of source, the purposes of processing, and the categories of recipient;

correct inaccurate Personal Information;

delete Personal Information, subject to exceptions;

obtain a portable copy of Personal Information you provided;

opt out of the sale or sharing of Personal Information, of targeted advertising, and of certain profiling. Oak St. does not carry out these activities;

limit the use of Sensitive Personal Information. Oak St. does not seek it from Website visitors;

object to or restrict processing, including processing based on legitimate interests;

withdraw consent where processing is based on consent, without affecting processing carried out before withdrawal;

not be subject to a decision based solely on automated processing that produces legal or similarly significant effects. Oak St. does not make such decisions about Website visitors;

not be discriminated against for exercising a right;

appeal a refusal, where applicable law provides an appeal right; and

lodge a complaint with a competent supervisory authority or attorney general.

**Making a request.** To exercise a right, contact Oak St. at privacy@oakst.vc and describe the right you wish to exercise and the information involved. Oak St. will respond within the period required by applicable law and, where no period is prescribed, within a reasonable period.

**Verification.** Oak St. will take reasonable steps to verify your identity before acting on a request, proportionate to the right exercised and the sensitivity of the information involved. Oak St. will not require you to create an account, and will not ask for more information than is needed to verify the request. If Oak St. cannot verify your identity, it will tell you.

**Authorized agents.** Where applicable law permits, you may authorize an agent to make a request on your behalf. Oak St. may require evidence of the agent's authority and may require you to confirm the request directly.

**Appeals.** If Oak St. declines a request and applicable law gives you a right of appeal, you may appeal by writing to privacy@oakst.vc within a reasonable period, identifying the request and the reason for the appeal. Oak St. will respond as applicable law requires and will explain its decision.

## 16. JOB APPLICANTS

If you apply for a role at Oak St., Oak St. collects the Personal Information you provide in connection with your application, which may include your name, contact details, organization and role, employment and education history, the content of your application, curriculum vitae, and correspondence, information provided by recruiters and referees, and information recorded during interviews and assessments.

Oak St. uses application information to evaluate your application, to communicate with you, to verify information you provide, to arrange interviews, and to meet legal and regulatory obligations. Application information is disclosed only to the categories of recipient described in Section 7, and only as needed for those purposes.

Oak St. does not seek Sensitive Personal Information from applicants except where required by law. Where equal opportunity or demographic information is requested, providing it is voluntary, it is not used in hiring decisions, and it is handled as applicable law requires.

If your application is unsuccessful, Oak St. retains application information for twenty-four months from the decision unless a longer period is required by law or you consent to a longer period. The rights described in Section 15 apply to application information as applicable law provides.

## 17. CHANGES TO THIS NOTICE

Oak St. may update this notice. The effective date above shows when it was last revised. Personal Information is handled under the notice in effect at the time of collection, except where applicable law requires otherwise. Where a change is material, Oak St. will take reasonable steps to indicate that a change has been made.

## 18. CONSISTENCY WITH ACTUAL PRACTICE

This notice describes the Website as it is implemented. If Oak St. adds a technology, a vendor, or a purpose that this notice does not cover, this notice will be revised before the change takes effect. Oak St. does not describe practices it does not follow, and does not list vendors it does not use.

## 19. CONTACTING US

Privacy inquiries and rights requests: privacy@oakst.vc.

By mail: Oak St. Securities, LLC, Attention: Privacy, Chicago, IL.

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