



PRIVACY DISCLOSURE DOCUMENT

RICE HALL JAMES & ASSOCIATES, LLC
600 West Broadway, Suite 1000
San Diego, CA 92101

We consider our relationship with our clients our most important asset. We strive to maintain your trust and confidence in our firm, an essential aspect of which is our commitment to protect your personal information to the best of our ability. We believe that all of our clients value their privacy, so we will not disclose your personal information to anyone unless it is required by law, at your direction, or is necessary to provide you with our services. We have not and will not sell your personal information to anyone.

Rice Hall James & Associates, LLC collects and maintains your personal information so we can provide investment management services to you. The types and categories of information we collect and maintain about you include:

- Information we receive from you to open an account or provide investment advice to you (such as your home address, telephone number, and financial information);
- Information that we generate to service your account (such as trade tickets and account statements); and
- Information that we may receive from third parties with respect to your account (such as trade confirmations from brokerage firms).

To provide you the utmost of investment management services, we may disclose your personal information in limited circumstances, which include:

- Disclosures to financial service companies as permitted by law, including those necessary to service your account (such as providing account information to brokers and custodians);
- Disclosures to non-financial service companies that perform services on our behalf (such as our technology consultants who assist us in maintaining our computer systems); and
- Disclosures to companies that perform marketing services on our behalf or to other financial institutions with which we have joint marketing agreements. However, these companies may only use your information in connection with the services they provide you and the firm, and not for any other purpose.

Arrangements with companies not affiliated with Rice Hall James & Associates, LLC will be subject to confidentiality agreements.

Otherwise, we will not disclose any personal information about our current or former clients or their account(s) unless we receive prior written consent, we believe the recipient is your authorized representative, or we are permitted by law to disclose information to the recipient.

Rice Hall James & Associates, LLC will internally safeguard your non-public personal information by restricting access to only those employees who provide products or services to you or those who need access to your information to service your account. In addition, we will maintain physical, electronic and procedural safeguards that meet federal and/or state standards to guard your non-public personal information.