



## Privacy Notice

AlphaMax Distributors, LLC and its affiliates are providing this notice to explain its information collection practices and other important information. These measures reflect our commitment to maintaining the privacy of your confidential information.

### Information We Collect

We may collect nonpublic personal information about you from the following sources:

1. Information we receive about you on applications and other forms including subscription documents, questionnaires and online registration forms, whether we receive the form in writing or electronically. For example, this information may include your name, address, telephone number, e-mail address, tax identification number, income and other financial data, investment experience, and possibly your personal bank account information.
2. Information about your transactions and account history with us, our affiliates and others. This includes information about other products you have purchased through our affiliated companies, such as information about additions and redemptions.
3. Information we receive about you from third parties such as solicitors, brokers, selling agents, advisers, product sponsors and clearing firms and/or their service providers. These parties may include affiliates of AlphaMax.
4. Information from online forms you complete and data we receive when you visit one of our websites (such as internet protocol address, browser software).

### Disclosure of Your Information

We do not disclose any personal or financial information about you, whether you are our current or former client, without your authorization or direction, except as disclosed below.

We may share information about you with affiliated or non-affiliated third parties, in order for them to assist us in providing services to you, as part of joint marketing arrangements or for purposes of jointly offering a product or service. In addition, we may share information about you as required by regulatory authorities or law enforcement officials, and to the extent reasonably necessary to prevent fraud and unauthorized transactions, or as otherwise as permitted by law.

Affiliated and non-affiliated third parties who receive information about you in order to assist us in providing services to you are not permitted to use your information for any purpose other than to assist our servicing of your account(s), including helping us improve the services we offer, or as permitted by law.

If there is a change to our Privacy Policy, the new policy will be posted on our website [www.alphamaxcap.com](http://www.alphamaxcap.com) and attached to any notice of such change, with a visible effective date.

## **Confidentiality and Security**

We restrict access to non-public personal information about you to those employees, agents and third parties who need to know that information to assist us in providing services to you. We maintain physical, electronic and procedural safeguards that comply with federal standards to guard your non-public personal information.

## **The Internet: Cookies and Other Tracking Mechanisms**

We use cookies on our websites to enhance a visitor's experience on the site and to make decisions about ways to improve the website. A cookie (or browser cookies) is a small file placed on the hard drive of your computer. It contains information about preferences for using a website that have been established by someone using a browser on that computer. Unless you have adjusted your browser setting so that it will refuse cookies, our system will issue cookies when you access or use our website. Cookies are used to store visitors' preferences, collect information about how visitors use the website, analyze user trends and improve the website. Specific to the password protected websites, cookies are used to track the visitor's use of the site, including times logged-in and pages and documents viewed. Cookies are also used to display the visitor's name at the top of the site and if a visitor clicks "remember me," a cookie is used to allow a visitor to re-enter the Site without having to log in again.

We may disclose the presence of a cookie to third parties in order to advertise our services. For example, we may ask advertisers to display ads promoting our services on other websites based on the presence of a cookie. We may also contract with third-party advertising networks, including Google that use cookies, or other tracking technologies to collect certain non-personal information about your activities on the website and on third-party websites to provide you with targeted advertising based upon your interests. We may also use cookies delivered by third parties to track the performance of our advertisements.

You may refuse to accept browser cookies by activating the appropriate setting on your browser. Most recent browsers provide the flexibility to reject all cookies, accept all cookies, or accept cookies only from sites you trust. The site, [www.allaboutcookies.org](http://www.allaboutcookies.org), includes instructions for managing cookies on many commonly used browsers, or you may visit Google's Ads settings to opt out of Google's use of cookies. Please note that if you refuse to accept browser cookies, your access to or use of certain portions of the website may be limited.

## **Do Not Track Disclosure**

Given the nature of our data collection, use and disclosure activities described above, we do not recognize automated browser signals regarding tracking mechanisms, such as "Do Not Track" requests.

### **Children's Privacy**

The websites are not directed toward children under the age of 13, and we do not knowingly collect personal information from children under 13.

### **Questions**

Should you have any questions about our Privacy Policy, please contact us by email or by regular mail at:

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1200 Prospect Street, Suite 400  
La Jolla, CA 92037  
Attention: Privacy Officer  
Email: [info@alphamaxcap.com](mailto:info@alphamaxcap.com)