
Privacy Practices Notice

Stax Capital is committed to protecting the privacy of our customers and former customers. In order to issue and service high quality financial products and services, we collect personal information about you. We do not sell the information you have entrusted to us to third parties, and we disclose your personal information only as necessary to provide the products and services you expect from a financial services leader. To help you understand how we protect your personal information, this notice describes our current privacy policy and practices. During the continuation of your relationship with Stax Capital, we will advise you of our privacy policy and practices at least once annually, as required by law.

You do not need to take any action as a result of this notice, but you do have certain rights as described below.

Information We May Collect and Use

We collect information about you, which we may share now or in the future. We do this to identify you as our customer or our former customer, to process your transactions and requests quickly, to provide investment services to you or tell you about products or services we believe you may want and use.

At this stage:

- **Information from you:** When submitting your account application form you may give us information such as your name, address, Social Security number, financial and employment history.
- **Information about your transactions:** We may keep information about your transactions with our company, for example, the products you purchase from us, the amount you invested, your account balances and investment history.
- **Information from outside our company:** We may also collect other information that may include information from consumer reporting agencies such as your credit history, credit scores, driving or employment records. It may also include information from other individuals or businesses, such as medical and demographic information.
- **We collect information** from you when you register on our site, place an order, subscribe to our newsletter, respond to a survey, or fill out a form.
- **When ordering or registering** on our site, as appropriate, you may be asked to enter your: name, e-mail address, mailing address, phone number or credit card information. You may, however, visit our site anonymously.



- **Information from our websites:** We may obtain information about you from on-line forms, site visit or ship data and on-line information collecting devices commonly called “cookies.”

Note: We do not collect medical or health information in connection with securities business.

How We Treat Your Information

Stax Capital may share the information described above with our service providers. These providers may require access to information about you to process or service transactions you have requested, to provide efficient customer services, or to inform you of our products or services you may find useful. Our service providers may be affiliated or unaffiliated, and may include financial service providers (for example, third party administrators, broker-dealers, insurance agents and brokers, registered representatives, companies that perform marketing services on our behalf, reinsurers, other financial institutions with whom we have joint marketing agreements) or non-financial companies and individuals (for example, consultants, vendors, and the Medical Information Bureau). Please be assured that we require these service providers to safeguard your personal information and to use or disclose it only for the work they are performing on our behalf, or as permitted by law.

We may provide information to regulatory authorities and law enforcement officials in accordance with applicable law or to others when we believe in good faith that the law requires it. In the event of a sale of all or part of one of our businesses, we may share customer information related to that business as part of the transaction. Unlike many other financial institutions, Stax Capital does not sell or share your information with marketers outside our company who may want to offer you their own products and services. Neither do we share information we receive about you from a consumer-reporting agency. You do not need to take any action for this benefit.

Stax Capital may use your information to process transactions. Your information, whether public or private, will not be sold, exchanged, transferred, or given to any other company for any reason whatsoever, without your consent, other than for the express purpose of delivering the purchased product or service requested.

We may use the information to send periodic emails. The email address you provide for order processing will only be used to send you information and updates pertaining to your order. If you decide to opt-in to our mailing list, you will receive emails that may include company news, updates, related product, or service information, etc.



Security Of Information

Keeping your information secure is one of our most important responsibilities. We maintain physical, electronic, and procedural safeguards to protect your information. Employees are authorized to access your information only when they need it to provide you with products and services or to maintain your accounts.

CCPA Privacy

Under this Privacy Policy, and by law if you are a resident of California, you have the following rights:

The right to notice. You must be properly notified which categories of Personal Data are being collected and the purposes for which the Personal Data is being used.

The right to access / the right to request. The CCPA permits you to request and obtain from the Company information regarding the disclosure of your Personal Data that has been collected in the past 12 months by the Company or its subsidiaries to a third-party for the third party's direct marketing purposes.

The right to say no to the sale of Personal Data. You also have the right to ask the Company not to sell your Personal Data to third parties. You can submit such a request by visiting our "Do Not Sell My Personal Information" section or web page.

The right to know about your Personal Data. You have the right to request and obtain from the Company information regarding the disclosure of the following:

- The categories of Personal Data collected
- The sources from which the Personal Data was collected
- The business or commercial purpose for collecting or selling the Personal Data
- Categories of third parties with whom we share Personal Data.
- The specific pieces of Personal Data we collected about you
- The right to delete Personal Data. You also have the right to request the deletion of your Personal Data that has been collected in the past 12 months.

The right not to be discriminated against. You have the right not to be discriminated against for exercising any of your Consumer's rights, including by:

- Denying goods or services to you
- Charging different prices or rates for goods or services, including the use of discounts or other benefits or imposing penalties
- Providing a different level or quality of goods or services to you
- Suggesting that you will receive a different price or rate for goods or services or a different level or quality of goods or services.



Exercising Your CCPA Data Protection Rights

In order to exercise any of your rights under the CCPA, and if you are a California resident, you can email or call Stax Capital.

Stax Capital will disclose and deliver the required information free of charge within 45 days of receiving your verifiable request. The time period to provide the required information may be extended once by an additional 45 days when reasonably necessary and with prior notice.

Making Sure Information Is Accurate

We want to make sure that we have accurate information about you. Upon written request, we will make your personal information available for your review. Information we have collected in connection with or in anticipation of a claim or legal proceeding will not be made available. If you believe that any of our records are inaccurate, you may notify us in writing of any corrections, amendments, or deletions that you believe should be made. Questions about accessing or correcting your personal information should be directed to Stax Capital, 2262 Carmel Valley Road, Suite G, Del Mar, CA 92014. Attn: Chief Compliance Officer. Please describe the information you wish to see, or corrections required.

