



Monex Asset Management, Inc. Privacy Policy

Monex Asset Management, Inc respects your right to privacy and recognizes our responsibility for protecting the privacy and security of the personal information we receive from you. We have always of our privacy practices and want our current and prospective customers to understand what information we collect and how we use it. This notice refers to Monex Asset Management, Inc., and we refer to this company collectively herein using the terms “we”, and “our”.

Why We Collect Your Information

We gather information about you so that we can (i) know who you are and thereby prevent unauthorized access to your information, (ii) design and improve the services we offer and (iii) comply with the laws and regulations that govern us.

What Information We Collect

We may collect the following types of ‘nonpublic personal information’ about you:

- Information about your identity, such as your name, address and social security number;
- Information about your transactions;
- Information about your personal financial profile, such as your risk tolerance levels, goals and objectives, assets, liabilities, savings and investments.

What Sources We Obtain Your Information From

We collect nonpublic personal information about our clients such as you from the following sources:

- Information we receive from you on contracts or other forms; such as risk tolerance questionnaires and/or investment policy statements.
- Information about your transactions with our affiliates, or others.
- If you visit our web site, information we collect via a web server, is often referred to as a “cookie.” Cookies indicate where a site visitor has been online and what has been viewed.

What Information We Disclose

We do not disclose any nonpublic personal information about our customers or former customers to anyone, except to affiliates, as permitted or required by law, or for regulatory compliance. Moreover, we will not release information about our customers or former customers unless one of the following conditions is met:

- We receive your prior written consent.
- We believe the recipient to be you or your authorized representative.
- We are required by law to release information to the recipient.

Confidentiality and Security

We maintain physical, electronic and procedural safeguards to guard your personal information. We also restrict access to your personal and financial data to our authorized associates who have a need for these records. We require all nonaffiliated organizations and vendors to keep client data confidential and use appropriate security measures to protect it. They are also contractually obligated to keep the information provided confidential and used as requested. Furthermore, we will continue to adhere to the privacy policies and practices described in this notice even after your account is closed or becomes inactive.

Changes to Our Privacy Notice

We will continue to conduct our business in a manner that conforms with our pledge to you, your expectations and all applicable laws; however, our policy about obtaining and disclosing information may change from time to time. We will provide you with notice of any material change to this policy before we implement the change.

To Contact Us

If you have questions regarding our privacy policy, please contact us at (713) 877-8234.