



Registered with Texas

**Privacy Policy**  
**Monex Asset Management, Inc.**

In MONEX ASSET MANAGEMENT, Inc. we respect your right to privacy and recognize our responsibility to protect the privacy and security of personal information we receive from you. We have always been committed to ensuring the confidentiality and integrity of your personal information. We are proud of our policies and we want our customers and prospects to understand what information we collect and the use that is given. This notice relates to MONEX ASSET MANAGEMENT, Inc., and we refer to this company in this document, using the terms "company" and "our".

Why we collect your information?

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

What information do we collect?

We may collect the following 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, their level of risk tolerance, goals and objectives, assets, liabilities, savings and investments.

What sources we use to gather such information?

We collect nonpublic personal information about our customers from the following sources:

- Information we receive from you through agreements and other forms; such as risk tolerance questionnaires and / or statements of investment policies.
- Information about your transactions with our affiliates, or others.
- If you visit our website, we collect information through a web server, it is often referred to as a "cookie". Cookies indicate that a visitor has been online and what he has visited.



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What information do we disclose?

- For your safety and peace of mind, we want to assure our commitment to confidentiality of your personal information. Monex asset management Inc. generally does not share or distribute your personal information. However you may, from time to time, share your personal information with our affiliates (including [but not limited to] your name, information about your creditworthiness, information about your transactions and experiences with us). Our affiliates may use the information they receive from us to perform services on our behalf, to offer products and services or for other everyday business purposes. We may also share your information with other agencies as permitted or required by law.
- Require the same rules of confidentiality of the institutions with which we work closely with. Access to your personal and financial information is limited to authorized and strictly forbidden for all other staff. We will keep this promise of confidentiality, even after your account is inactive. We would like to remind you that Monex asset management Inc. will not receive any remuneration for order flow or customers or institutions.

### Confidentiality and Security

We maintain physical, electronic and procedural safeguards to protect your personal information. We also restrict access to your personal and financial information to our authorized partners who need these records. We urge all organizations unaffiliated and suppliers keep sensitive customer data and use appropriate security measures to protect them. They are also contractually obligated to keep the information confidential and use it as requested. In addition, we will continue to adhere to the privacy policies and practices described in this statement, even if your account is closed or inactive.

### Changes to our Privacy Policy

We will continue to conduct our business in a way that fits our commitment to you, your expectations and all applicable laws; however, our policy on the collection and dissemination of information may change. We will provide notice of any material changes to this policy before implementing the change.

To reach us



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If you have questions about our privacy policy, please contact us at +1 (713) 877 8234