

# Privacy Notice

Facts	What Does Infinex Investments Do With Your Personal Information?
Why?	Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share and protect your personal information. Please read this notice carefully to understand what we do.
What?	<p>The types of personal information we collect and share depends on the product or service you have with us. This information may include:</p> <ul style="list-style-type: none"> <li>• Social Security number</li> <li>• Income</li> <li>• Assets</li> <li>• Investment experience</li> <li>• Risk tolerance</li> <li>• Account transactions</li> </ul> <p>When you are <i>no longer</i> our customer, we continue to share your information as described in this notice.</p>
How?	All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' financial information, the reasons Infinex Investments chooses to share, and whether you can limit this sharing.

Reasons We Can Share Your Personal Information	Does Infinex share?	Can you limit this sharing?
<b>For our everyday business purposes</b> , such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	Yes	No
<b>For our marketing purposes</b> to offer our products and services to you.	No	We don't share
<b>For joint marketing with other financial companies</b>	Yes	No
<b>For our affiliates' everyday business purposes</b> – information shared is limited to your transactions and experiences	Yes	No
<b>For our affiliates' everyday business purposes</b> – information about your creditworthiness	No	We don't share
<b>For nonaffiliates to market to you</b> – for clients with accounts established with Infinex representatives at banks and credit unions	No	We don't share
<b>For nonaffiliates to market to you</b> – for clients with accounts established with Infinex independent representatives. If your Infinex representative is not affiliated with a financial institution and leaves Infinex to join another firm, or elects to sell or transfer some or all of his or her business, we or your Infinex representative may disclose your personal information to the new firm unless you instruct us not to by returning the completed Mail-in Form.	Yes	Yes

**Questions?** Go to [www.infinexgroup.com](http://www.infinexgroup.com)

Mail-in Form										
<p>Leave Blank OR If you have a joint account your choice(s) will apply to everyone on your account unless you mark below.</p> <p><input type="checkbox"/> Apply my choices only to me.</p>	<p><b>(To be used by clients of Infinex <i>independent</i> advisers only, not clients of advisers associated with a bank or credit union)</b></p> <p><input type="checkbox"/> Please check here if you would like to limit the personal information that your financial advisor could disclose or take if he or she moved to another brokerage or investment advisory firm and terminated the relationship with Infinex.</p> <p>You can withdraw your opt-out choice at any time by contacting us in writing at the address provided.</p>									
	<table border="1"> <tr> <td>Name</td> <td></td> </tr> <tr> <td>Address</td> <td></td> </tr> <tr> <td>City, State, Zip</td> <td></td> </tr> <tr> <td>Account Number</td> <td></td> </tr> </table>	Name		Address		City, State, Zip		Account Number		<p><b>Mail to:</b>            Privacy Management            c/o Compliance Department            Infinex Financial Group            538 Preston Avenue            Meriden, CT 06450</p>
	Name									
	Address									
	City, State, Zip									
Account Number										

## Who We Are

Who is providing this notice?	Infinex Investment, Inc.
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## What We Do

How does Infinex protect client personal information?	<p>To protect your personal information from unauthorized access and use, Infinex uses security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.</p> <p>Access to personal information is granted to our branch-office and home-office employees only to serve legitimate client needs.</p>
How does Infinex gather your personal information?	<p>We collect your personal information primarily through your interactions with a financial advisor or other staff, for example, when you:</p> <ul style="list-style-type: none"><li>• Open an account</li><li>• Apply for insurance</li><li>• Provide your contact information</li><li>• Request advice about your investment, insurance, or wealth management needs</li><li>• Tell us about your previous investments</li><li>• Enter into an investment advisory contract</li></ul> <p>We also collect your personal information from credit bureaus, affiliates, or other companies.</p>
Why can't I limit all sharing?	<p>Federal law gives you the right to limit only:</p> <ul style="list-style-type: none"><li>• Sharing of information with affiliates for everyday business purposes</li><li>• Sharing information for affiliates to market to you</li><li>• Sharing information with nonaffiliates for marketing purposes</li></ul> <p>State laws and individual companies may give you additional rights to limit sharing.</p>

## Definitions

Affiliates	Companies related by common ownership or control. They can be financial and nonfinancial companies.
Nonaffiliates	Companies not related to Infinex by common ownership or control.
Joint marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. This may include banks, credit unions, or other financial institutions with which we have a joint marketing agreement.

## Additional Information

If your account was opened by an Infinex representative located at a financial institution and that financial institution decides to enter into a relationship with a new financial service provider, we will share your information with that new financial service provider so that your account can continue to be serviced unless you instruct us not to.

## Other Important Information

### Information for California, North Dakota and Vermont Customers

In response to applicable state law, if the mailing address provided for your account is in California, North Dakota or Vermont, we will automatically treat your account as if you do not want us to disclose your personal information to non-affiliated third parties for purposes of them marketing to you, except as permitted by the applicable state law.

*Securities offered through INFINEX INVESTMENTS, INC. Member FINRA/SIPC*

NOT A DEPOSIT	NOT FDIC INSURED	NOT GUARANTEED BY THE BANK
NOT INSURED BY ANY FEDERAL GOVERNMENT AGENCY		MAY GO DOWN IN VALUE