

Semmax Financial Advisors, Inc.

Notification of Privacy Policy

At Semmax Financial Advisors, Inc., protecting your privacy is very important to us. As a financial services firm, we collect and use nonpublic personal information (NPI) in order to provide our clients (prospective, current, or former) with a broad range of financial services as effectively and conveniently as possible. We are providing this notification to inform you of the types of NPI we collect, our privacy safeguards and sharing practices. We handle all NPI in accordance with this policy.

WHAT IS NPI? WHAT TYPES OF NPI DOES SEMMAX FINANCIAL ADVISORS COLLECT AND FROM WHOM DO WE COLLECT IT?

Nonpublic personal information (NPI) is confidential personal information about you that we obtain in connection with providing financial services or products to you. We generally collect NPI about you from the following sources:

- ❖ Information we receive from you on applications or other forms (i.e., name, address, income, etc.);
- ❖ Information about your transactions with us, our affiliates, our service providers, or other parties to transactions; and
- ❖ Information we may receive about you from unaffiliated financial service providers (i.e., custodians, insurance agents, attorneys, and consumer reporting agencies).

HOW IS YOUR NPI UTILIZED?

We do not disclose any NPI about you without your express consent, except as described in this notice. We only share your NPI with (1) employees of our firm, (2) affiliates of our firm, (3) unaffiliated service providers (i.e., broker-dealers, banks, subadvisors, co-advisors, third-party managers, and mutual fund companies), (4) account aggregation services chosen by mutual agreement, (5) others who need to know such information in order to provide products or services to you, and (6) any other situation where we are permitted or required by law to share it. We will also receive NPI from some or all of the entities listed above. Disclosure of NPI to such parties is unrestricted and facilitated by your agreement and consent.

HOW DO WE PROTECT YOUR PERSONAL INFORMATION?

We maintain physical, electronic, and procedural safeguards to protect your NPI. Our safeguards include measures to protect your information prior to, during and upon termination of our financial services engagement (i.e., disposal of your data).

DISCLOSING PERSONAL INFORMATION TO NON-AFFILIATED THIRD PARTIES

We do not sell, share or disclose your personal information to persons or entities other than as described above. We will not share or disclose such information to non-affiliated third-party marketing companies.

FUTURE POLICY REVISIONS

This policy may change to reflect updates in our practices, procedures, or regulatory requirements concerning the collection and use of NPI. As our client, you will receive notifications at least annually and our revisions or changes to this policy will be highlighted in our annual notifications. If you have any questions regarding our privacy policy, please do not hesitate to contact your investment adviser representative or you may write to, email, or call us at:

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We are providing this notification to you in accordance with Federal and State regulations.