



CaptiveX Securities LLC
Privacy Policy
March 18, 2025

CaptiveX Securities LLC ("CaptiveX" or "the Firm") is committed to maintaining the confidentiality, integrity and security of personal information about our current and prospective customers. CaptiveX understands that privacy is an important issue for you, and the Firm also wants you to understand how it protects your privacy when it collects personal information about you.

Information CaptiveX Collects

The personal information the Firm collects from you comes from information you supply to the Firm in account opening applications (whether written or electronic), or in other forms you may provide. This information may include your name, address, social security number or tax identification number, account number, account balances and financial information about you.

Information CaptiveX May Share

Captive may share personal information about the Firm's current and former customers with its affiliated companies and service providers around the world. The Firm may share the information for everyday business purposes, including to process your transactions, to assist the Firm in providing services, or for marketing purposes to offer products and services that may be of interest to you.

The Firm may also share personal with non-affiliated companies that are required to process your transactions such as clearing firms, or provide other services. The Firm does not sell your information or provide it to non-affiliated parties for marketing purposes.

The Firm may also disclose information about current or former customers in order to cooperate with legal or regulatory authorities or pursuant to a court order or subpoena. In addition, the Firm may disclose personal information as necessary to perform credit checks, collect debts, enforce our legal rights or otherwise protect our interests and property.

How CaptiveX Protects Your Information

It is the Firm's policy not to release your personal information except as permitted by law, with your consent, as requested by you or set forth below. CaptiveX will restrict access to your personal information to those who require it to provide products or services to you.

To protect your personal information from unauthorized access and use, the Firm uses security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.

Opt Out Notice

If you prefer that the Firm does not disclose your nonpublic personal information to unaffiliated third parties, you may opt out of those disclosures; that is, you may direct the Firm not to make those disclosures (other than disclosures permitted or required by law). If you wish to opt out of disclosures to nonaffiliated third parties, you may fax a request to (xxx) xxx-xxxx stating: "I do not wish to share personal information with nonaffiliated third parties". Please include your account number, the name as it appears on your statement and, if applicable, your email address.

If the Firm's privacy policy changes, you will be notified through the CaptiveX web site (WWW.captivex.COM) or by other appropriate means. If you have questions relating to this policy, please contact the Firm.