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If this site charges for services, products, content, or information, pricing information will be posted as part of the ordering process for this site. The Firm maintains specific contact information including an e-mail address for notifications of complaints and for inquiries regarding pricing policies in accordance with California Civil Code Section 1789.3. All correspondence should be addressed to our agent for notice at the following address:

Notification of Consumer Rights Complaint or Pricing Inquiry:

CaptiveX Securities, LLC
67 Holly Hill Lane, Suite 308B
Suite 308B
Greenwich, CT 06830
Phone Number: (203) 302-9000

You may contact CaptiveX with complaints and inquiries regarding pricing and we will investigate those matters and respond to the inquiries.

The Complaint Assistance Unit of the Division of Consumer Services of the Department of Consumer Affairs may be contacted in writing at 1020 N. Street, #501, Sacramento, CA 95814, or by telephone at 1--916--445--1254.

Arbitration

Except for actions related to protecting intellectual property rights or enforcing an arbitrator's decision, any disputes, controversies, or claims arising from or related to this Agreement, including breaches, will be resolved through arbitration under the rules of the American Arbitration Association ("AAA") in effect at the time. The arbitration will be conducted by a single arbitrator chosen by mutual agreement of the parties, in accordance with AAA rules. Arbitration will take place in the state of Connecticut, USA, and may be conducted by telephone or online. The arbitrator will apply the laws of the state of Connecticut to resolve the dispute. The arbitration will proceed on an individual basis and will not be consolidated with any claims or disputes involving other parties. The arbitrator's decision will be final and binding on both parties and may be entered into any court of competent jurisdiction for enforcement. The enforcement of any award or judgment will be governed by the United Nations Convention on the Recognition and Enforcement of Foreign Arbitral Awards. If either party initiates a legal action that is contrary to this provision, the other party may recover attorney's fees and costs up to \$1,000.

Jurisdiction and Venue

The courts of the state of Connecticut, USA, and the nearest U.S. District Court in Connecticut shall have exclusive jurisdiction and venue for all legal proceedings that are not subject to arbitration under these Terms of Use.

Controlling Law

This Agreement shall be governed by and construed in accordance with the laws of the state of Connecticut, USA, excluding its conflict of laws provisions. The application of the United Nations Convention on Contracts for the International Sale of Goods is expressly excluded.

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Severability

If any provision of these terms is found to be invalid or unenforceable, it will be modified to the extent necessary to make it valid and enforceable. The invalidity or unenforceability of any provision will not affect the validity of the remaining provisions, which will continue in full force and effect. These terms will be construed and enforced as though the invalid or unenforceable provision had not been included or had been modified as described.

Force Majeure

CaptiveX will not be held liable for any damages resulting from delays or failures in delivery caused by circumstances beyond our reasonable control, and without our fault or negligence. These circumstances may include, but are not limited to, acts of God, civil or military actions, fires, riots, wars, embargoes, internet disruptions, hacker attacks, or communication failures.

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