

FACTS		WHAT DOES APEX FINTECH BROKERAGE SERVICES LLC 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?		The types of personal information we collect and share depend on the product or service you have with us. This information can include: <ul style="list-style-type: none">■ Social Security number and income■ Account Balances■ Investment experience and assets
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’ personal information; the reasons Apex Fintech Brokerage Services LLC (“AFBS”) chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	What Does AFBS share?	Can you limit this sharing?
For our everyday business purposes—such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	YES	NO
For our marketing purposes—to offer our products and services to you	YES	NO
For joint marketing with other financial companies	NO	WE DON'T SHARE
For our affiliates’ everyday business purposes—information about your transactions and experiences	YES	NO
For our affiliates’ everyday business purposes—information about your creditworthiness	YES	YES
For our affiliates to market to you	YES	YES
For nonaffiliates to market to you	NO	WE DON'T SHARE

To limit our sharing	<ul style="list-style-type: none">■ Email us at apexdirect@apexfintechsolutions.com■ Visit us online: https://investorhelp.apexfintechsolutions.com/hc/enus/requests/new?ticket_form_id=35101013297293 or■ Mail the form below <p>Please note:</p> <p>If you are a <i>new</i> customer, we can begin sharing your information 30 days from the date we sent this notice. When you are <i>no longer</i> our customer, we continue to share your information as described in this notice.</p> <p>However, you can contact us at any time to limit our sharing.</p>
	<ul style="list-style-type: none">■ Email us at apexdirect@apexfintechsolutions.com or go to https://investorhelp.apexfintechsolutions.com/hc/enus/requests/new?ticket_form_id=35101013297293
Questions?	

Mail-in Form

Mark any/all you want to limit:

☐ Do not share information about my creditworthiness with your affiliates for their everyday business purposes.

☐ Do not allow your affiliates to use my personal information to market to me.

☐ Do not share my personal information with nonaffiliates to market their products and services to me.

Name		Mail to: Apex Fintech Brokerage Services LLC 201 Broad Street Floor 6 Suite 604 Stamford, CT - 06901
Address		
City, State, Zip		
Account #		

Who we are	
Who is providing this notice?	Apex Fintech Brokerage Services LLC
What we do	
How does AFBS protect my personal information?	<p>To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.</p> <p>To learn more about security at AFBS, please visit https://investorhelp.apexfintechsolutions.com/hc/en-us/requests/new?ticket_form_id=35101013297293</p>
How does AFBS collect my personal information?	<p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none">■ Open an account or give us your income information■ Make deposits or withdrawals from your account <p>We also collect your personal information from other sources.</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">■ sharing for affiliates' everyday business purposes—information about your creditworthiness■ affiliates from using your information to market to you■ sharing for nonaffiliates to market to you <p>State laws and individual companies may give you additional rights to limit sharing. See below for more on your rights under state law.</p>
What happens when I limit sharing for an account I hold jointly with someone else?	Your choices will apply to everyone on your account.
Definitions	
Affiliates	Companies related by common ownership or control. They can be financial and nonfinancial companies. Our affiliates include FinTron, Inc., FinTron Advisors, LLC and FinTron Technologies, LLC.
Nonaffiliates	Companies not related by common ownership or control. They can be financial and nonfinancial companies. AFBS does not share your personal information with nonaffiliates so they can market to you.
Joint marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. AFBS does not jointly market with nonaffiliated companies.
Other important information	
<ul style="list-style-type: none">■ For any state-specific rules and regulations, please go to https://investorhelp.apexfintechsolutions.com/hc/en-us/requests/new?ticket_form_id=35101013297293 to learn more.	