

Mercuri Asset Management, Inc.

PRIVACY POLICY NOTICE

Mercuri Asset Management, Inc. (MAMI) considers the confidentiality of client information a top priority. At this time, we want you to know how we protect personal information we obtain from you or other sources in the course of providing you with investment products and services.

Most, if not all, the personal information that we have about you comes directly from you. MAMI records information that you provide, such as your name and address, financial information, investment experience, occupation and address of employer, birth date, social security number, e-mail address, phone number, etc. We also keep and maintain records of any securities or money positions held in your account. We may also collect personal information from outside sources, including consumer reporting agencies and CRD (Central Registration Depository) if you are, or were, associated with the securities industry.

It is our policy not to disclose any personal information to non-affiliates who might use your personal information to contact you about their own products and services. We educate our employees to protect your personal information. At MAMI, your personal information is available only to those individuals who are involved in servicing your financial needs or in supervisory activities. We will use your personal information to help evaluate your financial situation and establish appropriate investment objectives. In addition, MAMI maintains physical, electronic, and procedural safeguards that comply with applicable laws and regulations to protect your personal information.

Under certain circumstances, we may, as permitted by law and without your permission, provide personal information to servicing agents (securities clearing organizations such as Fidelity), regulatory or law enforcement authorities, and persons requesting information pursuant to a subpoena or court order.

Finally, should your relationship with MAMI end, your personal information will remain protected in accordance with our privacy policies as outlined in this notice.

You may ask to see or obtain a copy of your personal information we have in our records. If any of the information is believed to be incomplete or inaccurate, you may request that we make any necessary and appropriate changes. Please send any requests to:

Mercuri Asset Management, Inc.
615 Gregory Circle
Corona, CA. 92881

We hope that you have found this information helpful. If you have any questions or would like more information, please contact us at 951-817-1070.