



## Privacy Policy

### Parallax Investments LLC Privacy Policy

Parallax Investments, LLC (Parallax) respects the privacy of our clients, and we are committed to maintaining the confidentiality of any personal or financial information that we may collect. Parallax has always considered the safeguarding of sensitive information to be a high priority. This notice describes the types of client information we collect and under what circumstances we may share it.

### Client Information that We Collect

Parallax collects personal and financial information from you. We collect this information for several reasons, including:

- Securities regulations require that we know enough about you to provide financial services that meet your needs.
- We need to set up services for you with affiliated and unaffiliated third parties.
- We are required by law to establish your identity as part of the government's efforts to combat terrorism and money laundering.

### Parallax's Policy

We only share your personal information with our affiliated brokerage firm (Tri-Star-Financial) and other unaffiliated 3<sup>rd</sup> parties to the extent necessary to service your account(s). Under no circumstances does Parallax sell or rent clients' (customers or consumers) personal information. This policy continues in effect for former clients.

### Information about you is collected from the following sources

We retain the personal information from your application or contract that you provide for securities brokerage or asset management purposes so that your account may be serviced properly. This information includes names, address, social security number, birth date, telephone numbers, marital status, investment objectives, annual income, investment experience, employment, number of dependents and, in the case of some insurance applications, smoking status, driving status, driver's license number, insurance history, medical history, and physician information. We collect this information from you, publicly available sources, and only as necessary and with your written permission, other parties that you have done business with (such as attorneys, health care providers, banks, or financial services providers).

### Transaction Information

Whenever you make a transaction in any of your accounts, regardless of account type or method of order entry, we maintain a record of the transaction including the security, the date, and the amount purchased, price, dollar amount or the transaction, and any other information that may be pertinent to the transaction.

We collect financial needs profiles, risk tolerance analysis, and other suitability information. Depending upon the types of services that are to be provided, you may be (or may have been) asked to fill out one or all of the above in addition to the standard application. This information is requested to assist in determining more detailed aspects of suitability when the products or services being considered require a more in-depth profile to determine whether they are appropriate and, if so, to add valuable insights as to how to best serve you.

Information other than that provided on the standard application may include: familiarity with strategies, investment constraints, levels of financial sophistication, retirement goals, estate transfer information, financial structure information (assets, liability, liquidity, etc.), insurance coverage, your opinions on risk vs. reward, and any other information that you may choose to provide your representative to help produce an accurate profile of your needs.

We receive information from verification services and consumer reporting agencies to help ensure the accuracy of application data, or to assess credit worthiness if you apply for credit products.

With your consent, information is also received from other institutions (for example, if you are transferring an account).

#### **Information we share**

Parallax restricts access to your information to those who require that access in order to provide products and services to you. We may share the personal information that we collect about our customers, prospects, or former customers with:

\*Tri-Star Financial is affiliated through common ownership. We may disclose all the information collected regarding your account to these companies and affiliated to assist us in offering products and services to you. These entities work together to help us better serve your investment needs or to suggest securities or educational materials that may be of interest to you.

\*Unaffiliated service providers (example: fulfillment companies and securities clearing houses)

\*Government Agencies and Law Enforcement Officials (example: tax reporting or court order)

\*Other organizations, as permitted by law that protects your privacy (example: fraud prevention efforts)

\*Regulators

\*Other investment organizations, with your consent and instructions (example: a mutual fund company where you have an account)

\*Companies or individuals that provide services to Parallax. These 3<sup>rd</sup> parties must have information security that we find acceptable and have a confidentiality agreement with us.

\*Other service organizations, with your consent (example: if you request personalized performance reporting)

#### **How we protect your information**

Parallax has always safeguarded our clients' information. We restrict access to your information physically and electronically. Southwest Securities Inc., our clearing firm, provides our electronic safeguards. Their systems are designed with extensive information protection controls in keeping with industry standards. These systems are regularly adapted to respond to changing requirements and advances in technology.

### Order Routing

Parallax routes all orders to Southwest Securities, Inc. (SWS) via their proprietary order entry systems. Upon request, SWS will provide the routing detail on individual transactions. In order to request this information, please contact your Registered Representative or Parallax Customer Service.

### Payment for Order Flow

Parallax does not receive payment for Order Flow.

### Option to Opt Out and Change Notices

If for any reason at any time in the future, we find it necessary to disclose any of your personal information in a way that is inconsistent with this policy, we will give you advance notice of the proposed change and the opportunity to opt out of such disclosure. For your reference, this policy has been posted to our website at [www.parallaxinvestments.us](http://www.parallaxinvestments.us). If you have questions or concerns, please contact us via email at [camckeon@parallaxinvestments.us](mailto:camckeon@parallaxinvestments.us).