



Investor Privacy Notice

As an organization that collects, uses and discloses personal information, **Faiella Financial Group** is subject to the federal *Personal Information Protection and Electronic Document Act* (or by similar laws in the provinces of Alberta, British Columbia and Quebec), effective January 1st, 2004. In complying with these laws, it is important that **Faiella Financial Group** provide you with information so that you may fully understand the purposes for which your personal information is collected.

Over the course of your relationship with **Faiella Financial Group** and your investment funds advisor, personal information will be collected in order to administer your mutual fund account. This information typically includes your financial information and investment objectives, in addition to your current investments, banking information and your social insurance number. This information allows for but is not limited to the buying and selling of mutual funds on your behalf, in addition to providing you with reporting and the administration of your account in a compliant and regulatory manner.

At times, **Faiella Financial Group** may be required to provide this information to mutual fund companies in which you invest, self-regulatory organizations, securities regulators, law enforcement agencies and to companies [*that perform services on our behalf, use this statement only if you participate in referral agreements*]. These organizations, like **Faiella Financial Group** are bound and must comply with the same federal/provincial privacy act(s). **Faiella Financial Group does not disclose your information to any other organization(s) to use for their own purposes and in particular will never sell or trade your personal information.**

The purposes for which we collect, use and disclose your personal information are central to our being able to provide you with our services. Should you have objections to the collection and disclosure of your personal information, as listed in the foregoing, **Faiella Financial Group** will no longer be in a position to provide you with these services. Therefore, by maintaining your account with **Faiella Financial Group** we will consider that you have consented to our collecting, using and disclosing your personal information.

In representing **Faiella Financial Group**, your investment funds advisor is acting on behalf of the mutual fund dealer, FundEX Investments Inc. Your investment funds advisor may also be licensed to sell other products and, therefore may wish to provide you with advice and services in that other capacity. Should they do so, your investment funds advisor will communicate with you directly regarding any additional use or disclosure of your personal information.

If you wish to review or make changes to your personal information you may do so by making a written request to Privacy Officer, FundEX Investments Inc., 400 Applewood Crescent, 3rd Floor, Vaughan, Ontario L4K 0C3.

Should you have any questions or concerns regarding the use of your personal information we encourage you to speak with your investment funds advisor. Alternatively, you may contact the designated Privacy Officer for FundEX Investments Inc., 400 Applewood Crescent, 3rd Floor, Vaughan, Ontario L4K 0C3. via fax at 905-305-1698 or via email at compliance@fundex.com.