

## FUNDQUEST INCORPORATED CONSUMER PRIVACY NOTICE 2009

### FundQuest's commitment to your privacy

FundQuest is committed to maintaining the confidentiality and security of your personal information, in order that we may be of better service to you. You have entrusted us with this information. We understand that the information is private. We protect this information with your best interests in mind. FundQuest strives to maintain high standards in the safekeeping and use of your personal information.

**FundQuest asks that you provide certain kinds of nonpublic personal information in order for us to provide you with better service.** Such personal information includes personal and transactional data.

### Personal data that FundQuest obtains may include the following:

- Name and address
- Social security number
- Birth date
- Assets
- Income
- Account balances
- Investment objectives
- Investment activity
- Accounts at other institutions

### Transactional data that FundQuest obtains may include the following:

- Account additions and distributions
- Investment history
- Account balances

### FundQuest collects your personal information for the following purposes:

- To complete certain transactions or account changes that you direct, and to provide you with better customer service
- To identify you in order to protect your account from fraud or in other legally limited circumstances
- To provide better customer service by understanding which services may be the best fit for your needs
- To help ensure that your information on file at FundQuest is accurate

### FundQuest services are provided in a secure environment

The personal information we obtain from you is password-protected and stored under conditions of security. FundQuest security measures are in compliance with federal regulations regarding the safety of your nonpublic information. The security measures cover all channels of communication and service, including business that is conducted by mail, telephone, Internet, or otherwise.

FundQuest employees and nonaffiliated third parties are provided with access to your personal information only when the data is needed in order to perform their job or function (e.g. reviewing accounts, implementing transactions, printing quarterly performance reports). FundQuest employees have access to your information based on their job responsibilities. In the instance in which a FundQuest customer authorizes FundQuest to provide your information to others, we limit access to that information only.

## **FundQuest controls the sharing of your personal information**

We do not sell information about current or former customers or their accounts to third parties. Information we obtain in the course of responding to you is handled in accordance with all applicable legal requirements as to access and privacy protection requirements. We do not disclose your personal information to third parties with the following exceptions:

1. We disclose your personal information to companies that help us process or service your transactions or account(s) including companies that print and mail your account statements.
2. Where you have become a customer and use one of our services, we disclose your personal information to the intermediary company that provided you with our programs, to separate account managers and others under agreement with us to provide services to you and to registered representatives and other agents of ours as part of our collective service to you. Our contracts with these intermediary companies and individuals restrict them in using your personal information. The companies that provide support and other services to us are not allowed to use your personal information for purposes other than service to you and are contractually obligated to maintain strict confidentiality.
3. We may disclose or report your personal information in limited circumstances where we believe in good faith that disclosure is required or permitted under law, for example, to cooperate with regulators or law enforcement authorities, resolve consumer disputes, perform credit/authentication checks or for institutional risk control.

## **FundQuest recommends that you take several steps in order to protect the security of your personal information and to give us a better opportunity to be of service**

For your protection, we recommend that you do not provide your account information or other confidential information to any unknown callers.

Please contact us if you believe that our records are inaccurate or need to be updated. We will promptly make any necessary corrections.

## **Changes to privacy policy**

If FundQuest makes any substantial changes in the way we use or disseminate personal information, we will notify you.

As always, we thank you for the opportunity to serve you. We appreciate your business and look forward to helping you achieve your financial goals. Please be assured that we hold ourselves to the highest standards in the safekeeping and use of your personal information.

If you have any question concerning this Privacy Notice please write to: FundQuest, Incorporated. Attn: Compliance Dept., One Winthrop Square, Boston, MA 02110-1209.