

TMX Compliance LLC Privacy Policy

TMX Compliance is committed to protecting the privacy of our visitors and clients

TMX Compliance LLC (“TMX Compliance”) are committed to protecting the privacy of individuals who visit our website (“Visitors”) and individuals who register to use the TMX Compliance Services on behalf of TMX Compliance’s Clients (“Users”) (collectively “you” or “your”). This Privacy Policy applies to data provided on or through the TMX Compliance website located at www.tmxcompliance.com, the TMX Compliance web application owned and operated by TMX Compliance, and the content and the services offered by TMX Compliance through the website and apps (collectively, the “Services”) and describes TMX Compliance’s privacy practices in connection with the TMX Compliance Services.

It also describes the choices available to you regarding use of your Personal Information (defined below) and how you can access and update this information. Use of information collected through the TMX Compliance Services shall be limited to the purposes of providing the Services for which the User or Client has engaged TMX Compliance and as otherwise described in this Privacy Policy. Some information provided to us that may, either alone or when connected with other information to which we may have access, individually identify a Visitor, User or employee of a client and that information may be referred to in this Privacy Policy as “Visitor Personal Information,” “User Personal Information,” or “Data” (collectively, “Personal Information”)

Visitors please see Section 2;

Users please see Section 3.

Employees of TMX Compliance’s Clients, please see the disclaimer below as well as Section 4.

IF YOU ARE AN EMPLOYEE OF A CLIENT THAT USES THE TMX COMPLIANCE SERVICES, THIS PRIVACY POLICY DOES NOT APPLY TO YOU OR YOUR USE OF THE SERVICES. PLEASE REFER TO YOUR EMPLOYER’S PRIVACY POLICY, WHICH APPLIES TO THE COLLECTION, USE, PROCESSING AND RETENTION OF YOUR PERSONAL INFORMATION. UNDER APPLICABLE PRIVACY LAWS WE ARE A DATA PROCESSOR AND YOUR EMPLOYER REMAINS THE DATA CONTROLLER AT ALL TIMES. INDIVIDUAL EMPLOYEES OF OUR CLIENTS WHO SEEK ACCESS TO THEIR PERSONAL INFORMATION, OR WHO SEEK TO CORRECT, AMEND, OR DELETE INACCURATE PERSONAL INFORMATION SHOULD DIRECT THEIR REQUESTS TO THEIR EMPLOYERS WHO ARE TMX COMPLIANCE’S CLIENTS. TMX COMPLIANCE CLIENTS ARE ABLE TO REMOVE AND UPDATE PERSONAL INFORMATION AND DATA WITHOUT TMX COMPLIANCE’S INVOLVEMENT.

1. PRIVACY PRINCIPLES

TMX Compliance follows these principles in order to protect your privacy:

- We do not collect any more Personal Information than is necessary to provide the Services;

- We only use your Personal Information for the purposes we specify in this Privacy Policy, unless you agree otherwise;
- We post updates to our website when any changes are made to the Privacy Policy;
- We do not keep your Personal Information if it is no longer needed; and
- Other than as we specify in this Privacy Policy, we do not share your Personal Information with third parties.

2. VISITORS

a. What Information Do We Collect?

The information collected by TMX Compliance depends on how a Visitor uses our website. When a Visitor to our website contacts us and/or registers for information, content or an event sponsored by TMX Compliance, we will collect the Visitor's email address and other contact information so that we may fulfill the Visitor's request. Some information provided to us may, either along with or when connected with other information to which we may have access, individually identify a Visitor, and that information may be referred to in this Privacy Policy as "Visitor Personal Information." TMX Compliance also uses a technology called cookies which may collect certain information from your browser and computer. Please see the section on Cookies below

b. How do we use your information?

TMX Compliance uses information, including Visitor Personal Information, provided by Visitors to provide the Services and for business purposes such as research, marketing and for other general business purposes. TMX Compliance may share information, other than Visitor Personal Information, with third parties for business and marketing purposes.

If you apply for a job with us, we will collect, process and store the information you provide to us for recruitment purposes. We may also retain some of your information for a reasonable period of time for purposes of considering you for future employment opportunities.

TMX Compliance will not share Visitor Personal Information, or otherwise make your Visitor Personal Information available to any other parties except as provided in this Privacy Policy. We will not sell, rent, or exchange your Visitor Personal Information with any third parties without permission from you. If you sign up for an event or content that is co-hosted by TMX Compliance and one of its partners or co-sponsors, your Visitor Personal Information will also be shared with that partner or co-sponsor. Please see our partner or co-sponsors' privacy policies for further information about how they use Personal Information. Additionally, a Visitor's cookie related information may be shared with our third-party ad networks. Please see Section 9 on cookies for further information.

TMX Compliance will share your information, including Personal Information, in order to respond to investigations, court orders, legal processes, or to investigate prevent or take action regarding illegal activities, suspected fraud, or situations involving potential threats to the physical safety

or any person, violations of TMX Compliance's Terms of Service, or as otherwise required by law. If TMX Compliance is required by law or an order of a court of competent jurisdiction to disclose your information, TMX Compliance will promptly notify you of this requirement, if permitted by the court or applicable law, so that you may seek a protective order or other appropriate relief.

TMX Compliance may also share Visitor Personal Information with our trusted third-party service providers who help us to provide the content or other information on our website or who help us accomplish our business and marketing purposes. We will ensure that those service providers are obligated to protect Visitor Personal Information under contract terms which are no less protective than those set out in this Privacy Policy.

If TMX Compliance is involved in a merger, acquisition, or sale of all or a portion of its assets, Visitor Personal Information may be transferred to the acquiring person or entity and you will be notified via email and/or a prominent notice on our website of any change in ownership or uses of Visitor Personal Information, as well as any choices you may have regarding Visitor Personal Information.

c. California Consumer Protection Act (CCPA)

If you are a resident of the state of California, under the California Consumer Protection Act (California Civil Code §1798.100 et. Seq. (as amended from time to time, the "CCPA")), you have the following rights:

The right to know or request that a business disclose what Personal Information of yours that it collects, uses, discloses and sells.

The right to request that a business delete Visitor Personal Information collected or maintained by the business.

The right to opt-out of the sale or transfer of Visitor Personal Information for consideration by a business (aka "Do Not Sell My Information").

The right not to receive discriminatory or differentiated treatment by a business because you exercised a right conferred by the CCPA.

To submit a right to know, delete or opt-out (aka Do Not Sell My Information) request regarding Visitor Personal Information, [click here](#), or call: (800)-525-1000.

If you submit a right to know or delete request, TMX Compliance will attempt to verify your identity with a reasonably high degree of certainty. TMX Compliance will require you to sign a declaration swearing to your identity. If TMX Compliance cannot verify your identity it will, in accordance with its obligations under the CCPA, decline to comply with your request.

Collection of Personal Information under the CCPA

Depending on how a Visitor used our website or signed up for content sponsored by TMX Compliance and/or one of its partners or co-sponsors, the following personal information has been collected by TMX Compliance in the preceding 12 months:

Data category table Disclosure or Sale of Personal Information

If a Visitor signed up for content or an event that is offered by TMX Compliance and a TMX Compliance partner or co-sponsor, TMX Compliance will disclose (i.e. transfer under the CCPA's definition of a sale) the Visitor's Personal Information to the partner or co-sponsor. The categories of personal information that may be disclosed are name, email, phone number, title, company and country. Additionally, a Visitor's cookie related information may be disclosed to our third-party ad networks. TMX Compliance does not process or disclose Personal Information of minors under 16 years of age.

Authorized Agent

If a Visitor would like to use an authorized agent to exercise its rights under the CCPA, the Visitor may do so by providing TMX Compliance with written proof of having authorized their agent to act on their behalf. TMX Compliance will verify the identity of the authorized agent and require that the authorized agent sign a declaration under the penalty of perjury attesting to their designation as an authorized agent of the Visitor.

d. General Data Protection Regulation (GDPR)

TMX Compliance complies with all applicable GDPR requirements for the Personal Information that it processes.

The following table sets out how we handle Visitor Personal Information and our legal basis for doing so:

Data category table

Visitors have the following rights under the GDPR:

The right of access to Visitor Personal Information;

The right to rectification or correction of any errors in Visitor Personal Information;

The right to request deletion of Visitor Personal Information;

The right to restrict or object to the processing of Visitor Personal Information;

The right to withdraw consent to the processing of Visitor Personal Information;

The right of portability in Visitor Personal Information; and

The right to lodge a complaint with a supervisory authority.

TMX Compliance does not engage in any automated decision making with Visitor Personal Information.

3. USERS

a. What Information Do We Collect?

When a User registers with TMX Compliance, information is needed such as the User's Name, company name and size, business address, job title, address, contact telephone number and

email address. A billing address and credit card information is also required if the User has chosen a paid account or is acting as the billing contact for a TMX Compliance client. Some information provided to us may, either alone or when connected with other information to which we may have access, individually identify a User and that information may be referred to in this Privacy Policy as “User Personal Information.”

b. How Do We Use Your Information?

TMX Compliance uses information, including User Personal Information, provided by you to provide the Services and for business purposes such as processing and fulfilling orders, billing, service improvement, research, marketing and for other general business purposes. TMX Compliance may share information, other than Personal Information, with third parties for business and marketing purposes.

TMX Compliance will not share User Personal Information, or otherwise make User Personal Information available to any other parties except as provided in this Privacy Policy. We will not sell, rent, or exchange User Personal Information with any third parties without permission from you.

TMX Compliance will share your information, including Personal Information, in order to respond to investigations, court orders, legal process, or to investigate, prevent or take action regarding illegal activities, suspected fraud, or situations involving potential threats to the physical safety of any person, violations of TMX Compliance's Terms of Service, or as otherwise required by law. If TMX Compliance is required by law or an order of a court of competent jurisdiction to disclose your information, TMX Compliance will promptly notify you of this requirement, if permitted by the court or applicable law, so that you may seek a protective order or other appropriate relief.

TMX Compliance may also share User Personal Information with our trusted third-party service providers, who help us to provide the Services. We will ensure that those service providers are obligated to protect User Personal Information under contract terms which are no less protective than those set out in this Privacy Policy.

If TMX Compliance is involved in a merger, acquisition, or sale of all or a portion of its assets, User Personal Information may be transferred to the acquiring person or entity and you will be notified via email and/or a prominent notice on our website of any change in ownership or uses of User Personal Information, as well as any choices you may have regarding User Personal Information.

c. California Consumer Protection Act (CCPA)

Under the CCPA, the personal information of California consumers who were acting as employees or officers of a company or Users as defined in this agreement were exempted from most requirements of the CCPA in their interactions with businesses who process their personal information in their role as employees or officers of a company. Such Users maintain the following rights under the CCPA:

The right to opt-out of the sale or transfer of User Personal Information for consideration by a business (aka “Do Not Sell My Information”).

The right not to receive discriminatory or differentiated treatment by a business because you exercised a right conferred by the CCPA.

To submit a right to opt-out (aka Do Not Sell My Information) request regarding User Personal Information, [click here](#), or call toll free: (800)-525-1000.

TMX Compliance will continue to monitor any developments of the CCPA for Users and update its Privacy Policy if necessary and in accordance with any such developments.

d. General Data Protection Regulation (GDPR)

TMX Compliance complies with all applicable GDPR requirements for the User Personal Information that it processes.

The following table sets out how we handle User Personal Information and our legal basis for doing so:

Data category table

Users have the following rights under the GDPR:

The right of access to User Personal Information;

- The right to rectification or correction of any errors in User Personal Information;
- The right to request deletion of User Personal Information;
- The right to restrict or object to the processing of User Personal Information;
- The right of portability in User Personal Information; and
- The right to lodge a complaint with a supervisory authority.

TMX Compliance does not engage in any automated decision making with User Personal Information.

Use of User Personal Information is necessary for TMX Compliance to enter into and provide Services to you under your company’s contract with TMX Compliance. Failure to provide or allow TMX Compliance to process User Personal Information as a User may result in TMX Compliance no longer being able to provide you or your employer with Services.

4. DATA OF TMX COMPLIANCE CLIENTS

As discussed in section 2.5 of the TMX Compliance Terms of Service located at <https://www.tmx.compliance.com/terms-of-service>, “Data” of a TMX Compliance Client is defined as all information provided, inputted, or uploaded to your database in the TMX Compliance Service by you or on your behalf. TMX Compliance will not disclose your Data except as compelled by applicable law or as expressly authorized by you in writing and will only retain and use the Data

for the purpose of providing the Client with the Service or to prevent or address any service or technical problems with the Service.

TMX Compliance will share your Data, including User Personal Information, in order to respond to investigations, court orders, legal process, or to investigate, prevent or take action regarding illegal activities, suspected fraud, or situations involving potential threats to the physical safety of any person, violations of TMX Compliance's Terms of Service, or as otherwise required by law. If TMX Compliance is required by law or an order of a court of competent jurisdiction to disclose your Data, TMX Compliance will promptly notify you of this requirement, if permitted by the court or applicable law, so that you may seek a protective order or other appropriate relief.

TMX Compliance may also share your Data, including Personal Information, with our trusted third-party service providers, who help us to provide the Services. We will ensure that those service providers are obligated to protect your Data under contract terms which are no less protective than those set out in this Privacy Policy.

If TMX Compliance is involved in a merger, acquisition, or sale of all or a portion of its assets, your Data, including Personal Information, may be transferred to the acquiring person or entity and you will be notified via email and/or a prominent notice on our website of any change in ownership or uses of your Data, as well as any choices you may have regarding your Data.

a. [Data collected through the TMX Compliance Services and Access to Data controlled by our Clients](#)

TMX Compliance collects Data, including Personal Information, under the direction of its Clients and has no direct relationship with the individuals whose Personal Data it processes. An individual who seeks access, or who seeks to correct, amend, or delete inaccurate data should direct his/her request to the applicable TMX Compliance Client (the data controller or owner). The Client is able to remove the Data without TMX Compliance's involvement or will request that TMX Compliance remove the Data. For more information on how TMX Compliance's Clients use your Personal Information, please see their privacy policy.

[5. HOW WE PROTECT YOUR INFORMATION](#)

All of your Personal Information remains private and confidential. The security of your Personal Information is important to us. When you enter sensitive information (such as a credit card number) on our order forms, we encrypt the transmission of that information using secure socket layer technology (SSL).

TMX Compliance maintains a comprehensive written information security program that complies with applicable law and generally accepted industry standards. Our program includes appropriate administrative, technical and physical safeguards, procedures and practices to protect Personal Information submitted to us, both during transmission and once we receive it. No method of transmission over the Internet, or method of electronic storage, however, is 100% secure. Therefore, we cannot guarantee its absolute security. If you have any questions about security

on our website, the TMX Compliance web application owned and operated by TMX Compliance, or the Services, please contact us using the contact information below.

TMX Compliance and its representatives will never request your account credentials. You should never share your TMX Compliance account information, including your username and password, with anyone else. We recommend that you use a unique password for your TMX Compliance account that is not associated with other websites. You should check your TMX Compliance account regularly to ensure that your Personal Information has not been tampered with or altered.

Any suspicious activity regarding your account, including automated messages or calls from parties you cannot identify, should be reported to your site administrator and TMX Compliance using the contact information below.

6. HOW WE MAY CONTACT YOU

TMX Compliance will send a welcome email to account holders or Users for user registration, profile setup, compliance alerts, billing updates, and at times may send Service-related announcements. You cannot opt out of service-related emails if you are an account holder, as this is part of the TMX Compliance Services. If you wish to subscribe to our newsletter(s), we will use your name and email address to send the newsletter to you. You may choose to stop receiving our newsletter or marketing emails by following the unsubscribe instructions included in each of these emails, or you can contact us using the contact information below.

7. CORRECTING, UPDATING, AMENDING AND REMOVING YOUR PERSONAL INFORMATION

You may correct, update, amend, or remove Personal Information by making the change on our User information page, sending a request to us through our contact us page, by telephone or postal mail at the contact information listed below, California Residents who are Visitors or Users may do so through the link and telephone number provided in this Privacy Policy. If you no longer desire to use our Services, you may deactivate the Services by contacting us by telephone or postal mail at the contact information listed below. You may withdraw your consent to our processing of your Personal Information at any time by contacting us using the contact information below, but that will mean we can no longer provide the Services or any other requested content to you. We will respond to your requests regarding changes to Personal Information or Service changes within the appropriate timeline under applicable law of your call or receipt of your request.

8. RETENTION OF PERSONAL INFORMATION

Notwithstanding anything in this Privacy Policy to the contrary, we will retain your information for as long as your account is active, as needed to provide you with the Services or necessary to fulfill the purpose for which it was collected, or as required by applicable law. We will retain and use your information as necessary to comply with our legal obligations, resolve disputes, and enforce our agreements.

9. COOKIES

TMX Compliance uses a technology called "cookies" to store session information. A cookie is a small amount of data, which often includes an anonymous unique identifier, which is sent to your browser from a website's computers and stored on your computer's hard drive. We use both session ID cookies and persistent cookies. A "session ID cookie" expires when you close your browser. We use session ID cookies to track your login status. This cookie is only ever transmitted over HTTPS. A "persistent cookie" remains on your hard drive for an extended period of time. We use persistent cookies to determine from where you were referred to our website, as well as the last user ID that you used to log in. TMX Compliance may set and access TMX Compliance cookies on your computer; cookies are required to use the TMX Compliance Services. You can remove persistent cookies by following directions provided in your Internet browser's "help" directory. [Click here](#) for more information on cookies, including how to disable them. If you disable cookies, you may still use our website, but your ability to use some areas of our website, such as contests or surveys, will be limited.

The use of cookies by our partners and affiliates is not covered by this Privacy Policy. We do not have access or control over those cookies. Our partners and affiliates use session ID and persistent cookies to better gauge interest in our Services.

Currently, various browsers offer a "do not track" or "DNT" option which sends a signal to websites' visited by a user about the user's browser DNT preference setting. TMX Compliance does not currently respond to browsers' DNT signals with respect to the website, in part, because no common industry standard for DNT has been adopted by industry groups, technology companies or regulators, including no consistent standard of interpreting user intent. TMX Compliance takes privacy and meaningful choice seriously and will make efforts to continue to monitor developments around DNT browser technology and the implementation of a standard.

As is true of most websites, we gather certain information automatically and store it in log files. This information includes internet protocol (IP) addresses, browser type, internet service provider (ISP), referring/exit pages, operating system, date/time stamp, and clickstream data. We use this information to analyze trends, to administer our website, to track Visitors' and Users' movements around the website and to gather non-identifiable, demographic information about our user base as a whole. We link this automatically collected data to Personal Information provided by Visitors and Users so that we can better gauge our Visitors' and Users' needs and provide specific information to best serve them.

We partner with third party ad networks to manage our advertising on other sites. Our ad network partners use cookies and Web beacons to collect non-personally identifiable information about your activities on this and other websites to provide you targeted advertising based upon your interests. If you wish to not have this information used for the purpose of serving you targeted ads, you may opt-out by clicking preferences-mgr.truste.com.

We also use Google Advertising Networks to publish advertising on other sites. When you view or click on an ad, a cookie will be set to help better provide advertisements that may be of interest

to you on this and other websites. You may opt-out of the use of this cookie by visiting Google's Advertising and Privacy page: www.google.com/privacy_ads.html.

10. LINKS

Our website includes links to other websites whose privacy practices may differ from those of TMX Compliance. If you submit information to any of those sites, your information is governed by the privacy policies that apply to those sites. We encourage you to carefully read the privacy policy of any website you visit.

11. PUBLICLY ACCESSIBLE PARTS OF OUR WEBSITE AND SOCIAL MEDIA FEATURES

Our website offers publicly accessible blogs and community forums. You should be aware that any information you provide in these areas may be read, collected, and used by others who access them. To request removal of your Personal Information from our blog or community forum, please contact us using the contact information below.

We display personal testimonials of satisfied customers on our website in addition to other endorsements. With your consent we may post your testimonial along with your name. If you wish to update or delete your testimonial, you can contact us using the contact information below.

Our website includes social media features, such as the Facebook Like button and widgets, the Share this button or interactive mini-programs that run on our site. These features may collect your IP address, which page you are visiting on our site, and may set a cookie to enable the feature to function properly. Social media features and widgets are either hosted by a third party or hosted directly on our website. Your interactions with these features are governed by the privacy policy of the company providing the features.

12. UPDATES TO THIS PRIVACY POLICY

TMX Compliance may update this Privacy Policy from time to time and will notify account holders of significant changes in the way we treat any Personal Information, by sending a notice to the primary email address specified in your TMX Compliance account. We may also place a prominent notice on our website. We encourage you to periodically review this page for the latest information on our privacy practices.

13. CONTACT INFORMATION

For questions related to this Privacy Policy, or to correct, update, amend or request that we remove your Personal Information, or to contact TMX Compliance's Data Protection Officer, please contact privacy@tmxcompliance.com or at:

TMX Compliance, LLC
3000 Stonewood Drive
Suite 320
Wexford, PA 15090

USA

Toll Free: 1-800-525-1000