

DELPHX CAPITAL MARKETS LLC  
and its FINRA-licensed Broker-Dealer Affiliate,  
OPTIMAL INVESTMENT CORPORATION

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**NOTICE OF INTENT TO OPT OUT – Non-Affiliated Third Party Sharing**

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The Gramm-Leach-Bliley Act ("Act"), as enacted by Congress, sets forth new standards for financial institutions, financial service providers, insurance companies, etc. regarding the disclosure of non-public, personal information. The Act generally prohibits Delphx Capital Markets, LLC and its affiliate, Optimal Investment Corporation, a licensed-Financial Services Regulatory Authority (FINRA) broker-dealer (collectively, the "Company") from sharing nonpublic personal information about you with a third party unless we provide you with the Company's Privacy Policy describing the type of information that we collect about you and the persons or types of entities to whom that information may be disclosed.

(A summary of the Act can be retrieved at: <http://banking.senate.gov/conf/qrmleach.htm>.)

**Client Information**

I elect that you do not share my information, other than that which is defined on the Company's Privacy Policy and which is allowed by law. The Company's Privacy Policy is posted at [www.DelphX.com](http://www.DelphX.com).

Please print this form and complete/sign below:

Name (First, MI, Last)	
Social Security Number	
Address	
City, State, Zip Code	
Signature	

Questions? Please call (610) 640-7546.

Please allow thirty (30) days for your election to become effective.

Please send completed form, via registered or overnight mail, to:

DelphX Capital Markets LLC  
5 Great Valley Parkway  
Malvern, PA 19355  
Phone: (610) 640-7546

*This Opt-Out Form is effective June 1, 2009.*