

# **GLP INVESTMENT SERVICES, LLC** **ASSET ALLOCATION STRATEGIES, LLC**

## **Member FINRA/SIPC**

### **PRIVACY NOTICE**

G.L.P. INVESTMENT SERVICES, LLC provides investment brokerage services by means of its own internal operation and those of unaffiliated third party mutual fund and variable product sponsors. G.L.P. INVESTMENT SERVICES, LLC and the product sponsors receive and maintain information about you that is related to and necessary for processing investments in your account.

**WHERE DO WE OBTAIN THE INFORMATION.** The information that we have comes directly from you. This includes such information as your name, address and Social Security number that you provided on applications, agreements or other forms. In addition, we maintain records of each of your transactions and holdings processed by us.

We also may obtain information about you, such as your credit history or other facts relating to creditworthiness, from a consumer-reporting agency.

**TO WHOM DO WE DISCLOSE THE INFORMATION.** We provide information about current or former clients from the sources described above to parties outside of this firm only as described below:

To other companies as necessary to process your business. For example, we process your mutual fund transactions through product providers with whom we have dealer selling agreements. These parties must limit their use of the information to the purpose for which it was provided.

Where required by law or regulation. Examples include responses to a subpoena, court order or regulatory demand.

As authorized by you. You may direct us, for example, to send account statements or other account information to a third party.

As otherwise authorized or permitted by law. For example, the law permits us to respond to a request for information about you from a consumer-reporting agency.

**CONFIDENTIALITY AND SECURITY.** We restrict access to information about you to those employees and authorized agents who need to know that information in order to provide products or services to you. We maintain physical, electronic and procedural safeguards to maintain the confidentiality of your information.

### **USA PATRIOT ACT**

Effective October 1, 2003, GLP Investment Services, LLC. is required by the USA PATRIOT Act's Customer Identification Program (CIP) to implement reasonable procedures to verify the identity of any person establishing an account.

To help the government fight the funding of terrorism and money laundering activities, Federal law requires all financial institutions to obtain, verify, and record information that identifies each person who opens an account

What this means for you: When you open an account, we will ask for your name, address, date of birth and other information that will allow us to identify you. We may also ask to see your driver's license or other identifying documents.

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### **COMPLAINT INQUIRIES**

We feel confident that we will have a mutually satisfying business relationship, with all of our clients, as we have for many years. If, however, you feel the need to register a complaint, it should be directed to: Heather Lyon, Chief Compliance Officer, GLP Investment Services, LLC, 33305 Grand River Avenue, Farmington, Michigan, 48336, Phone: (248) 489-0101.

### **INFORMATION ON FINRA**

GLP Investment Services, LLC is a member of FINRA. Pursuant to FINRA Rules, we are required to provide to you, our customers the following information about FINRA:

#### **FINRA WEB SITE**

FINRA maintains a website that is designed to provide investors with the tools to make safe, smart, and rewarding investments. The web site address is [www.finra.org](http://www.finra.org)

#### **BROKERCHECK HOTLINE**

For assistance with checking the background of a broker call the BrokerCheck Hotline at (800) 289-9999 or visit the BrokerCheck website at <https://brokercheck.finra.org/>.

#### **INFORMATION ON FINRA BROKERCHECK PROGRAM**

FINRA has created a brochure for investors that provide different resources available to perform an online background check of a broker, brokerage firm, investment adviser or other investment professionals. That brochure is available on FINRA website or by contacting the BrokerCheck Hotline.

#### **INFORMATION ON SIPC**

GLP INVESTMENT SERVICES, LLC is a member of the Securities Investors Protection Corporation otherwise known as SIPC. Pursuant to FINRA and SIPC rules, we are required to provide to you, our customers, the following information about SIPC:

#### **SIPC BROCHURE**

SIPC has prepared an informative brochure which provides an understanding of the Securities Investor Protection Corporation (SIPC), its role and how it protects you. The brochure can be obtained by contacting SIPC at (202) 371-8300.

#### **SIPC WEB SITE AND TELEPHONE NUMBER**

The SIPC maintains a website that is designed to provide investors with knowledge about the mission and function of SIPC. The web site address is [www.sipc.org](http://www.sipc.org). The telephone number to SIPC is (202) 371-8300.

#### **BUSINESS CONTINUITY PLAN**

We have created a business plan which can be furnished upon request.