

<b>FACTS</b>	<b>WHAT DO OUR COMPANIES DO WITH YOUR PERSONAL INFORMATION?</b>
<b>Why?</b>	Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.
<b>What?</b>	The types of personal information we collect, and share, depend on the product or service you have with us. This information can include: <ul style="list-style-type: none"> <li>• Social Security number and income</li> <li>• Account balances and assets</li> <li>• Credit history and investment experience</li> </ul>
<b>How?</b>	All financial companies need to share customers' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customer's personal information; the reasons GLP Investment Services, LLC. ("GIS") and Asset Allocation Strategies, LLC. ("AAS") chooses to share; and whether you can limit this sharing.

Reasons we can share your personal information	Do these companies share?	Can you limit sharing?
<b>For our everyday business purposes</b> such as to process your transactions, maintain your account(s), respond to court orders and legal investigations, or report to credit bureaus	<b>YES</b>	<b>NO</b>
<b>For our marketing purposes</b> to offer our products and services to you.	<b>YES</b>	<b>NO</b>
<b>For joint marketing with other financial companies</b>	<b>NO</b>	<b>We don't share</b>
<b>For our affiliates' everyday business purposes</b> information about your transactions and experiences necessary to process transactions.	<b>YES</b>	<b>NO</b>
<b>For our affiliates' everyday business purposes</b> information about your creditworthiness	<b>NO</b>	<b>We don't share</b>
<b>For our affiliates to market to you</b>	<b>YES</b>	<b>YES</b>
<b>For nonaffiliates to market to you</b> In our partnership with you, you may request that we share your information with your Accountant, Attorney or other professionals. We will do so with your written approval. Otherwise, we do not share your information.	<b>NO</b>	<b>We don't share</b>
<b>Limited Third-Party Disclosure</b> GIS and AAS recognizes that when a representative leaves a firm, they often wish to take their client's information with them to facilitate the transfer of accounts. As a result, GIS and AAS will not prevent your representative from taking your client file (or the information contained within your client file) unless you provide instruction otherwise. Files typically contain your name, address, social security number, employment status, financial information, date of birth, account numbers, the types of products you have purchased, and your investment objectives.	<b>YES</b>	<b>YES</b>

<b>To limit our sharing</b>	<ul style="list-style-type: none"> <li>• Call 1-248-489-0101</li> <li>• Mail the form below</li> </ul>
	<p><b>Please note:</b> If you are a new customer, we can begin sharing your information 30 days from the date we sent this notice. When you are no longer our customer, we continue to share your information as described in this notice.</p> <p>However, you can contact us at any time to limit our sharing.</p>

## Questions?

**Call Us: 1.248.489.0101**

## Mail-in Form

**Mark box below if you want to limit:**

Do not share my personal information as described in the Limited Third-Party Disclosure.

Name: \_\_\_\_\_

Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

Phone: \_\_\_\_\_

**Mail To:**

GLP Investment Services  
33335 Grand River Ave.  
Farmington, MI 48336  
info@glpwins.com

**Who We Are**

Who is providing this notice?	GLP Investment Services, LLC., (GIS) is a limited, registered broker-dealer, and Asset Allocation Strategies, LLC, is an SEC Registered Investment Adviser. Both companies are affiliated and are subsidiaries of GLP Financial Group.
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**What We Do**

How does GLP Investment Services and Asset Allocation Strategies protect my personal information?	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings.
How does GLP Investment Services and Asset Allocation Strategies collect my personal information?	We collect your personal information, for example, when you <ul style="list-style-type: none"> <li>• open an account or apply for insurance</li> <li>• direct us to buy investments or provide account information</li> <li>• enter into an investment advisory contract</li> </ul> We also collect your personal information from others, such as credit bureaus, affiliates, or other companies.
Why can't I limit all sharing?	Federal law gives you the right to limit only <ul style="list-style-type: none"> <li>• sharing for affiliates' everyday business purposes - information about your credit worthiness</li> <li>• affiliates from using your information to market to you</li> <li>• sharing for nonaffiliates to market to you</li> </ul> State laws and individual companies may give you additional rights to limit sharing. See below for more on your rights under state law.
What happens when I limit sharing for an account, I hold jointly with someone else?	Your choices will apply to everyone on your account.
Does GLP Investment Services and Asset Allocation Strategies sell my personal information?	We do not sell our customer information to any third party for any reason.
How does GLP Investment Services and Asset Allocation Strategies verify the identity of someone requesting to make changes to my personal information?	To protect your personal information from unauthorized access and use, we maintain certain policies and procedures designed to verify the identity of anyone requesting a change to personal information.

**Definitions**

Affiliates	Companies related by common ownership or control. They can be financial and nonfinancial companies. <i>Our affiliates include companies GLP name; financial companies such as GLP &amp; Associates and GLP Financial Group.</i>
Nonaffiliates	Companies not related by common ownership or control. They can be financial and nonfinancial companies. <i>Our companies <u>do not</u> share with nonaffiliates for marketing purposes.</i>
Joint marketing	A formal agreement between nonaffiliated financial companies that together market financial products or services to you. <i>GIS and AAS do not jointly market.</i>

**Other important information**

Vermont and California Residents: In order to comply with state laws protecting Vermont and California residents we will automatically treat accounts with Vermont and California addresses on our records as if you have elected to opt-out for sharing with and marketing by affiliated companies, the 'Limited Third Party Disclosure' referenced above, and sharing with non-affiliated companies, and sharing with companies to jointly market to you, unless you have affirmatively told us that we can share your information. You may change your options by contacting us at the telephone number or address on the front page of this form.

## **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, 33335 Grand River Ave., Farmington, MI 48336. 1.248.489.0101

## **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 continuity plan which can be furnished upon request and a summary of our Plan may be found on our website at: [www.glpinvestmentservices.com](http://www.glpinvestmentservices.com)

## **IDENTITY VERIFICATION NOTIFICATION**

**Important Information About Procedures for Opening a New 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 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.