

**MPS LORIA FINANCIAL PLANNERS, LLC**  
**7500 S. County Line Road**  
**Burr Ridge, IL 60527**  
**Registered Investment Advisory Firm**

**PRIVACY NOTICE**

MPS LORIA Financial Planners, LLC provides investment advisory services by means of its own internal operation and those of its brokerage houses and other unaffiliated third party providers such as mutual funds and variable product sponsors. All of the above named parties 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 OBTAIN 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, if you have a trading account the information we obtain from you is given to the brokerage house for purposes of facilitating securities trading and statement preparation. The 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.

**DISCLOSURE BROCHURE ADV REQUEST**

If you would like to receive a copy of the MPS LORIA Financial Planners, LLC ADV, Brochure or Schedule F please contact our office.

**Securities offered through Loria Financial Group, LLC**  
**Member FINRA and SIPC**

# **MPS LORIA *FINANCIAL PLANNERS, LLC***

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**A Registered Investment Advisory Firm**

**7500 S. County Line Road  
Burr Ridge, IL 60527  
630-887-4404 phone  
630-887-7895 fax**

**Date:**

We collect Nonpublic personal information about you from the following sources: 1

- Information we receive from you applications or other forms;
- Information about your transactions with us, our affiliates, or others; and
- Information we receive from a consumer-reporting agency.

We do not disclose any nonpublic personal information about our clients or former clients to anyone, except where permitted by law as necessary to process and service your account. 2

We restrict access to nonpublic personal information about you those employees who need to know that information to provide products or services to you. We maintain physical, electronic, and procedural safeguards that comply with federal standards to guard your nonpublic personal information. Please see the attached Policy and Procedures statement regarding our safeguards. 3

1. Regulation S-P at section 248.6(a)(1)
2. Regulation S-P at section 248.6(a)(2) – (a)(7), section 248.14 & section 248.15
3. Regulation S-P at section 248.6(a)(8)

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Member FINRA & SIPC

## **Nonpublic Financial Information Policies**

Current as of \_\_\_\_\_

### Policy to Safeguard Customer Records and Information

Our procedures are reasonable designed to:

1. Insure the security and confidentiality of customer records and information;
2. Protect against any anticipated threats or hazards to the security or integrity of customer records and information; and
3. Protect against unauthorized access to or use of customer records or information that could result in substantial harm or inconvenience to any customer.

### Administrative Safeguards

We restrict access to nonpublic personal information about customers to those employees who needs to know that information to provide products or services to customers or as is otherwise permitted or required by law.

### Technical Safeguards

We electronically maintain and/or transmit to affiliated entities or service providers nonpublic personal information on or over what are represented to us as and what we believe to be secure protocols. Access to this information is restricted to individuals who need to know that information to provide products or services customers expect to receive from us or as is otherwise permitted or required by law.

### Physical Safeguards

We maintain both electronic storage media and physical documents containing customer nonpublic personal information by means which we believe are secure and private. We transmit such information to affiliated entities or service providers (a) electronically, by means which we believe are secure, and (b) physically, by the United States Postal Service or independent overnight courier.