



## L. Roy Papp & Associates, LLP - Privacy Notice

Rev. 11/13

FACTS	WHAT DOES ADVISER L. Roy Papp & Associates, LLP (“LRP”) DO WITH YOUR PERSONAL INFORMATION?	
WHY?	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.	
WHAT?	<p>The types of personal information we collect and share depend on the product or service you have with us. This information can include:</p> <ul style="list-style-type: none"> <li>▪ Social security number</li> <li>▪ Income</li> <li>▪ Assets</li> <li>▪ Risk tolerance</li> <li>▪ Wire transfer instructions</li> <li>▪ Transaction history</li> </ul>	
HOW?	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 customers’ personal information; the reasons LRP chooses to share; and whether you can limit this sharing.	
	Reasons we can share your personal information	Does LRP Share?
		Can you limit this sharing?
	<b>For our everyday business purposes</b> - such as to process your transactions, maintain your accounts(s) or respond to court orders and legal investigations.	Yes
	<b>For our marketing purposes</b> - to offer our products and services to you	No
	<b>For joint marketing with other financial companies</b>	No
	<b>For our affiliates' everyday business purposes</b> - information about your transactions and experiences	No
	<b>For our affiliates' everyday business purposes</b> – information about your creditworthiness	No
	<b>For nonaffiliates to market to you</b>	No
To limit our sharing	<ul style="list-style-type: none"> <li>▪ Call 1-800-421-0131 AND/OR</li> <li>▪ Visit: WWW.ROYPAPP.COM</li> </ul> <p>Please note:</p> <p>If you are a <i>new</i> customer, we can begin sharing your information 30 days from the date we sent this notice. When you are <i>no longer</i> our customer, we continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing.</p>	
Questions?	<p>Call Julie Hein at 1-800-421-0131 AND/OR Visit: WWW.ROYPAPP.COM</p>	



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Rev. 11/13

Page 2

### What we do

#### How does LRP 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 LRP collect my personal information?

We collect your personal information, for example, when you

- Enter into an investment advisory contract
- Seek financial advice
- Make deposits or withdrawals from your account
- Tell us about your investment or retirement portfolio
- Give us your employment history

#### Why can't I limit all sharing?

Federal law gives you the right to limit only

- sharing for affiliates' everyday business purposes—information about your creditworthiness
- affiliates from using your information to market to you
- sharing for nonaffiliates to market to you

State laws and individual companies may give you additional rights to limit sharing.

#### What happens when I limit sharing for an account I hold jointly with someone else?

Your choices will apply to everyone on your account - unless you tell us otherwise.

### Definitions

#### Affiliates

Companies related by common ownership or control. They can be financial and nonfinancial companies.

- *LRP has no affiliates*

#### Nonaffiliates

Companies not related by common ownership or control. They can be financial and nonfinancial companies.

- *LRP does not share with nonaffiliates so they can market to you.*

#### Joint Marketing

A formal agreement between nonaffiliated financial companies that together market financial products or services to you.

- *LRP does not jointly market.*

### SMS Terms and Conditions

No mobile opt-in or text message consent or content will be shared with third parties or affiliates. If you consent to receive individual conversational SMS messages from L. Roy Papp & Associates, you agree to receive text messages related to your account. Message and data rates may apply. Messaging frequency may vary. You can opt-out at any time by texting "STOP." For assistance, call Julie Hein at 1-800-421-0131 or visit [www.roypapp.com](http://www.roypapp.com).

### Other important information