

MAIN STREET FINANCIAL LIFE ADVISORS, LLC
PRIVACY NOTICE

Main Street Financial Life Advisors, LLC (referred to as “MSFLA”) maintains physical, electronic, and procedural safeguards that comply with federal standards to protect its clients’ nonpublic personal information (“information”). Through this policy and its underlying procedures, MSFLA attempts to secure the confidentiality of client’s records and information and protect against anticipated threats or hazards to the security or integrity of client’s records and information.

It is the policy of MSFLA to restrict access to all current and former clients’ information (i.e., information and records pertaining to personal background, investment objectives, financial situation, tax information/returns, investment holdings, account numbers, account balances, etc.) to those employees and affiliated/nonaffiliated entities who need to know that information in order to provide products or services in furtherance of the client’s engagement of MSFLA. In that regard, MSFLA may disclose the client’s information: (1) to individuals and/or entities not affiliated with MSFLA, including, but not limited to the client’s other professional advisors and/or certain service providers that may be recommended or engaged by MSFLA in furtherance of the client’s engagement of MSFLA (i.e., attorney, accountant, insurance agent, broker-dealer, investment adviser, account custodian, record keeper, etc.); (2) required to do so by judicial or regulatory process; or (3) otherwise permitted to do so in accordance with the parameters of applicable federal and/or state privacy regulations. The disclosure of information contained in any document completed by the client for processing and/or transmittal by MSFLA to facilitate the commencement/continuation/termination of a business relationship between the client and/or between MSFLA and a nonaffiliated third party service provider (i.e., broker-dealer, investment adviser, account custodian, record keeper, insurance company, etc.), including, but not limited to, information contained in any document completed and/or executed by the client in furtherance of the client’s engagement of MSFLA (i.e., advisory agreement, client information form, etc.), shall be deemed as having been automatically authorized by the client with respect to the corresponding nonaffiliated third party service provider.

MSFLA permits only authorized employees and affiliates who have signed a copy of MSFLA’s Privacy Policy to have access to client information. Employees violating MSFLA’s Privacy Policy will be subject to MSFLA’s disciplinary process. Additionally, whenever MSFLA hires other organizations to provide services to MSFLA’s clients, MSFLA will require them to sign confidentiality agreements and/or the Privacy Policy.

Should you have any questions regarding the above, please contact J. Joseph Roman, Chief Compliance Officer.