

# ORTNER, O'BRIEN & ORTNER ADVISORY GROUP, INC.

## PRIVACY POLICY NOTICE

*Maintaining the privacy of information that you share with us is extremely important. The Gramm-Leach-Bliley Act, a federal statute recently enacted, requires "financial institutions" to explain what their specific policy is with regard to the usage of information that has been collected by you or other information about you that we may have collected. You are fully assured that even prior to the mandate, Ortner, O'Brien & Ortner Advisory Group, Inc. was in full compliance and that no changes were made to our policy or procedures. We will continue to maintain the highest level of confidentiality with all the information we receive from you.*

### ***Collecting Information***

*To conduct business and provide the services necessary to establish a working relationship, information is collected to build a foundation for our recommendations and decisions. We at Ortner, O'Brien & Ortner Advisory Group, Inc. collect non-public information in numerous ways. Primarily, information is collected from interviews, applications, and other forms.*

### ***Disclosing Information***

*Ortner, O'Brien & Ortner Advisory Group, Inc. will disclose information, such as your name, address, and social security number to name a few, only to financial institutions whom we have agreements such as Fidelity and TIAA-CREF via any paperwork that has been signed by you, the client. Also included is information regarding dealings with us such as account balances and transactions to name a few. We do not disclose non – public information about current or former clients to non – affiliated third parties except as permitted by law; as described in the privacy notice or as otherwise communicated to you. All employees are required to comply with our established confidentiality procedures and policies.*

### ***Confidentiality and Security***

*We will protect all information collected by you, and will restrict access to your non – public personal accounts by making information available to persons who have a need to properly service our clients accounts. We maintain physical, electronic, and procedural safeguards to insure our confidentiality policy and procedures are followed. Employees who are in violation of our private policy will be subject to disciplinary action, which may include termination.*