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Stephen W. DeFilippis, EA, Financial Adviser
Licensed to Represent Taxpayers Before the IRS

Member: Illinois Society of Enrolled Agents
National Association of Enrolled Agents

Our Privacy Policy

Your privacy is important to us. At **DeFilippis Financial Group®**, we are committed to your privacy and retaining your trust. We respect your right to keep your personal information confidential and to avoid unwanted solicitations. Please read this to learn how we handle your personal information.

Types Of Information We Collect:

We collect nonpublic personal information about you that is provided by you or obtained by us with your authorization to prepare your personal income tax returns and provide personal financial services to you.

Examples Of Sources From Which We Collect Information:

Client interviews, tax return organizers, financial services organizers and financial history questionnaires: To properly prepare your income tax return or provide financial services, we receive information from you to complete your tax return or financial plan. This information is collected from you in written form, by phone, online, by mail and in personal interviews and consultations conducted by us as well as information we collect from others with your authorization.

Transaction information: This is information about your transactions with us and includes information necessary for billing and payment for our income tax return preparation and financial services as well as all correspondence between you and us. Transaction information would also include your payment history with us, billing records and any collection effort engaged in by us for payment of services rendered to you.

Parties To Whom We Disclose Information:

We do not disclose any nonpublic personal information about our clients or former clients to our affiliates or to nonaffiliated third parties except as permitted by law and the Code of Ethics and Rules of Professional Conduct of the National Association of Enrolled Agents. Nonpublic personal information about you and our former clients may be disclosed to both our affiliates and nonaffiliated third parties as permitted by law and the Code of Ethics and Rules of Professional Conduct of the National Association of Enrolled Agents as follows:

1. Complying with a validly issued and enforceable subpoena or summons.
2. In the course of a review of our firm's practices under Illinois State Board of Accountancy authorization. Initiating a complaint or responding to an inquiry made by the Ethics and Professional Conduct Committee of the National Association of Enrolled Agents, the Internal Revenue Service's office of the Director of Practice or duly constituted investigative or disciplinary body of another State accounting Society or Board of Accountancy.

(OVER)

REGISTERED REPRESENTATIVE
» Cetera Financial Specialists LLC

INVESTMENT ADVISER REPRESENTATIVE
» Cetera Investment Advisers LLC



3. A review of a professional practice in conjunction with a prospective purchase, sale, or merger of all or part of our practice, provided that we take appropriate precautions (for example, through a written confidentiality agreement) so the prospective purchaser does not disclose information obtained in the course of the review.
4. Participating in actual or threatened legal proceedings or alternative dispute resolution proceedings either initiated by or against us, provided we disclose only the information necessary to file, pursue, or defend against the lawsuit, and take reasonable precautions to ensure that the information disclosed does not become a matter of public record.
5. Providing information to affiliates of the firm and nonaffiliated third parties who perform services or functions for us pursuant to a contractual agreement which prohibits the third party or affiliate from disclosing or using the information other than for the purposes for which the information was disclosed; for example, using an outside service bureau to process clients' tax returns, or using a records-retention agency to store client records.

General Restrictions On Disclosure Of Nonpublic Personal Information To Affiliates And Nonaffiliated Third Parties

As tax return preparers, we are prohibited by Internal Revenue Code Section 7216 from disclosing your income tax return information without your consent, other than for the specific purpose of preparing, assisting in preparing or obtaining and providing services in connection with the preparation of an income tax return for you. Furthermore, as a member of the National Association of Enrolled Agents engaged in income tax return preparation or financial services, we are generally prohibited from disclosing confidential client information about you to affiliates and nonaffiliated third parties without your specific consent (see exceptions under heading "Parties to whom we disclose information").

Confidentiality and Security of Nonpublic Personal Information

We restrict access to nonpublic personal information about you to those employees and other parties who must use that information to provide services to you. Their right to further disclose and use the information is limited by applicable law, the Code of Ethics and Rules of Professional Conduct of the National Association of Enrolled Agents and nondisclosure agreements where appropriate. We also maintain physical, electronic and procedural safeguards in compliance with applicable laws and regulations to guard your nonpublic personal information. Should you become an inactive client or should our relationship end, we will continue to protect the confidentiality and security of your personal information in accordance with this privacy policy.

Sincerely,

Stephen W. DeFilippis, EA
Owner

DeFilippis Financial Group®
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