



2021 CONSUMER PRIVACY NOTICE

This notice is being provided to you by Alliance Advisory & Securities, Inc. (hereinafter “AASI”). AASI strongly believes in protecting the confidentiality and security of information we collect about individuals. This notice describes the privacy policy followed by AASI:

- How we treat the information we receive (“Information”) about individuals who apply for or obtain our products or services (“Individuals”); and
- Any third parties with whom we may share this Information with.

INFORMATION WE COLLECT

“Nonpublic Personal Information” is nonpublic information about the Individual that we obtain in connection with providing a financial product or service to the Individual for personal, family, or household purposes.

We collect Nonpublic Personal Information about Individuals from the following sources:

- Information provided to us directly by an Individual on an application or other form in connection with our products or services. This may include but not be limited to: name, address, social security number, assets, and income.
- Information about an Individual’s transactions with us, our affiliates, or others, such as account balance, payment history, parties to a transaction, and insurance information.
- Information you provide to us and related identity documents are being requested to verify your identity in accordance with Section 326 of the USA Patriot Act.

INFORMATION DISCLOSED TO THIRD PARTIES, SERVICE PROVIDERS AND JOINT MARKETING PARTNERS

We do not disclose any Nonpublic Personal Information about our customers or former customers to third parties, except upon permission from such Individual or upon direction of a court of law or other government authority, or to service provider as outlined below.

Nonpublic Personal Information may be disclosed as necessary to service provider institutions. Such institutions presently include financial service institutions such as custodians and broker-dealers through whom customers’ transactions are executed, and technology service providers such as our database programmers. All service providers must limit their use of information to the purpose for which it was provided.

We do not currently have joint marketing partners to whom we disclose any Nonpublic Personal Information. In the event that we decide to engage in such a relationship, we will obtain permission from customers or former customers to disclose any Nonpublic Personal Information. Furthermore, these institutions will be prohibited by agreement from using such Nonpublic Personal Information except for the narrow purpose for which it was given to them.

PROTECTING CONFIDENTIALITY AND SECURITY

We treat Information in a confidential manner. Our employees are required to protect the confidentiality of Information. Employees may access Information only when there is an appropriate reason to do so, such as to administer or offer our products and services. Employees are subject to disciplinary rules if they do not comply with our policies. We also maintain physical, electronic, and procedural safeguards to protect Information; these safeguards comply with all applicable laws.

DISCLOSURE OF INFORMATION ABOUT FORMER CUSTOMERS

If an Individual decides to close an account or otherwise becomes an inactive customer, we will continue to follow the privacy practices described in this notice with respect to such Individual.

FORM ADV AVAILABLE

AASI's ADV Part 2 or Firm Brochure, which is our disclosure brochure is available for your review upon your request.

MATERIAL CHANGES

In September 2021, Alliance Advisory & Securities, Inc. moved its main office from 3390 Auto Mall Drive to 31248 E. Oak Crest Drive in Westlake Village, CA 91361.

The SEC adopted "Amendments to Form ADV" in October, 2011. The Firm Brochure, dated September 28, 2021, as part of its annual update requirement has been updated as follows:

On April 23, 2020, due to economic uncertainty, the Advisor obtained a loan guaranteed by the U.S. Small Business Administration under its Paycheck Protection Program ("PPP") in an amount of \$308,700. Consistent with PPP guidance, the Advisor is used the proceeds of the loan to pay ongoing expenses of the Advisor, including payroll, rent and utilities. The Advisor applied for and was granted loan forgiveness under the terms of its PPP.

The Advisor is not currently experiencing, and does not currently anticipate, any financial condition that it believes is reasonably likely to impair its ability to meet contractual commitments to clients.

BUSINESS CONTINUITY PLAN

A summary of AASI's Business Continuity Plan and/or Disaster Recovery Plan can be found on AASI's website: www.allianceadvisory.com