



**Independent**  
**Advisor Alliance**

**Independent Advisor Alliance, LLC**  
**A Registered Investment Advisor**

## **Privacy Policy**

## **Independent Advisor Alliance, LLC Privacy Policy**

Independent Advisor Alliance, LLC considers the privacy of its clients to be of fundamental importance and has established a policy to maintain the confidentiality of the information you share with us.

In providing investment advisory services to you, we collect certain nonpublic information about you. Our policy is to keep this information confidential and strictly safeguarded, and to use or disclose it only as needed to provide services to you, or as permitted or required by law. This policy is applicable to information for current and former clients.

### **Information we collect**

The personal information we collect directly from you includes information required to communicate with you and assist us in effectively addressing your financial needs. This information could include:

- Your name and address
- Investment objectives and experience
- Financial circumstances (e.g., annual income, net worth and current investments)
- Account balance and account transactions
- Social security number
- Employment information

### **We collect your personal information, for example, from the following sources:**

- Information we receive from you on applications and other forms
- Information about your transactions with us or others

We also collect your personal information from others such as custodians, broker/dealers and other companies.

### **How information is used**

All financial companies need to share client personal information to run their everyday business. We use information about you to provide our investment advisory services to you. We may disclose the information to third parties as permitted by law, including the broker/dealers, custodians or other companies used to provide services to you. We also share information with broker/dealer firms having regulatory requirements to supervise certain IAA activities. From time to time, we may be required to give information about our business to

regulatory authorities. This may include personal information about you. We do not sell your personal information to anyone.

### **How information is safeguarded**

We have procedures in place that we believe are reasonably designed to protect the security and confidentiality of your information. These include confidentiality agreements with companies we hire to help us provide services to you, password-protected user access to our computer files, training of employees, and strict confidentiality policies that apply to all employees.

### **“Opting-out” of Third-Party Disclosures**

If your representative leaves our firm, or if you decide to close your account and transfer to another firm with your representative, and you do not want us to share your nonpublic personal information (other than as permitted by law) with the representative or the new firm, please send your request in writing to us at 11525 N. Community House Road, Suite 575, Charlotte, NC 28277, Attn: Compliance Department.

### **Contact information**

If you have any questions, concerns or comments about our privacy policy, you may contact us at 888.430.1555.