

## Item 1 - Introduction

Our firm, Alpha Analytics Investment Group, LLC, is a Los Angeles-based investment adviser registered with the Securities and Exchange Commission (SEC). We provide investment advisory services rather than brokerage services. We feel that it is important for you to understand how advisory and brokerage services and fees differ in order to determine which type of account is right for you. There are free and simple tools available to research firms and financial professionals at [www.investor.gov/CRS](http://www.investor.gov/CRS), which also provides educational materials about investment advisers, broker-dealers, and investing.

### Conversation Starters:

- *Given my financial situation, should I choose an investment advisory service? Why or why not?*
- *How will you choose investments to recommend to me?*
- *What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?*

## Item 2 - Relationships and Services

*What investment services and advice can you provide me?*

### SERVICES

We primarily offer investment advisory services to retail investors. Our services are fee-based, separate account investment advisory services and are provided directly to individuals, high net worth individuals, trusts, charitable organizations, and other individual and institutional investors. If you open an advisory account with our firm, we'll meet with you to understand your current financial situation, existing resources, goals, and risk tolerance.

MONITORING Based on what we learn, we'll recommend a portfolio of investments that is monitored at least quarterly, and if necessary, rebalanced to meet your changing needs, stated goals and objectives. We'll offer you advice on a regular basis and contact you at least annually to discuss your portfolio.

INVESTMENT AUTHORITY You can select in our agreement whether we are allowed to buy and sell investments in your account without asking you in advance ("discretionary") or only buy and sell investments in your account after receiving your permission ("non-discretionary"). If you select non-discretionary, you make the ultimate decision regarding the purchase or sale of investments. Any limitations will be described in the signed advisory agreement. We will have discretion or non-discretion until the advisory agreement is terminated by you or our firm.

INVESTMENT OFFERINGS Our investment advice is not limited to a particular type of security. We provide advice with respect to equities, fixed income, and cash investments. We typically invest client assets in mutual funds and ETFs (exchange traded funds)

ACCOUNT MINIMUMS We have a minimum quarterly fee of \$1,500 per quarter. This is negotiable at our discretion.

## Item 3 - Fees, Costs, Conflicts and Standard of Conduct

*What fees will I pay?*

FEES AND COSTS You will pay an on-going, mutually-agreed asset-based fee computed as a percentage of the market value of assets under management as of the last day of each calendar quarter. The more assets there are in your account, the more you will pay in fees, and the firm may therefore have an incentive to encourage you to increase the assets in your account. Our standard annual fees typically range from 0.4% to 1% of assets under management. We routinely negotiate lower fee arrangements for clients at our sole discretion. You will also pay the fees and expenses of any mutual funds and exchange-traded funds in which you invest.

### Conversation Starters:

- *Help me understand how these fees and costs might affect my investments. If I give you \$10,000 to invest, how much will go to fees and costs, and how much will be invested for me?*

You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce any amount of money you make on your investments over time.

Please make sure you understand what fees and costs you are paying.

Additional information about our fees is located in Item 5 of our Firm Brochure <https://adviserinfo.sec.gov/firm/brochure/109844>

**Conversation Starters:**

- *How might your conflicts of interest affect me, and how will you address them?*

**LEGAL OBLIGATIONS**

**What are your legal obligations to me when acting as my investment adviser?**

**How else does your firm make money and what conflicts of interest do you have?**

When we act as your investment adviser, we have to act in your best interest and not put our interest ahead of yours. At the same time, the way we make money creates some conflicts with your interests. You should understand and ask us about these conflicts because they can affect the investment advice, we provide you. Here is an example to help you understand what this means: **Example of Potential Conflict:** The more assets there are in your advisory account, the more you will pay in fees, and the firm may therefore have an incentive to encourage you to increase the assets in your account.

**How do your financial professionals make money?**

Our financial professionals are compensated through a combination of salary and bonus. Bonuses are discretionary, and reflect the overall success of the firm and the individual. Our financial professionals receive no product sales commissions or other forms of payment.

**Conversation Starters:**

- *Do you or your financial professionals have legal or disciplinary history?*
- *Who is my primary contact person?*
- *Is he or she a representative of an investment adviser or broker-dealer?*
- *Who can I talk to if I have concerns about how this person is treating me?*

## Item 4 - Disciplinary History

***Do you or your financial professionals have legal or disciplinary history?***

No. Alpha Analytics and its employees have no legal or disciplinary history to report. Free and simple search tools are available to retail investors who visit [www.Investor.gov/CRS](http://www.Investor.gov/CRS) to research our firm and financial professionals.

## Item 5 - Additional Information

You can find additional information about our firm's investment advisory services on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD #109844 . You may also contact our firm at (310) 556-0389 or (310) 557-8803 to request a copy of this relationship summary and other up-to-date information.