

## Client Relationship Summary August 24, 2021

### Introduction

NatAlliance Securities LLC is an SEC/FINRA registered broker-dealer. We provide brokerage services and it is important for you to understand the fees associated with your brokerage account(s). Free and simple tools are available to research firms and financial professionals at [investor.gov/CRS](http://investor.gov/CRS), which also provides educational materials about broker-dealers, investment advisers, and investing.

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

We offer brokerage services to retail investors. The following types of accounts can be opened by retail investors: retirement, individual, joint, partnership, trust, and corporate accounts. Brokerage services for retail investors include buying and selling securities, and proprietary trading. At times we will make limited investment recommendations if requested by the investor; however, the ultimate decision to purchase or sell securities lies with the retail investor. We do not provide investment or account monitoring services to our retail investors. We provide advice in connection with public and private offerings of securities, and if requested, serve as selling group member.

Monitoring	We do not provide investment or account monitoring services to our retail investors.
Investment Authority	Retail investors have the ultimate decision to purchase or sell securities.
Investment Offerings	We offer recommendations from a limited menu of products and types of investments as well as proprietary products. A list of products and types of investments can be obtained from your broker or at <a href="http://www.natalliance.com/retailsales&amp;trading/retailproducts">http://www.natalliance.com/retailsales&amp;trading/retailproducts</a> .
Requirements	We have no minimum account size or investment amount; however, an annual fee will be assessed by your account's custodian if no trades are completed during the year.

For additional information, see <http://www.natalliance.com/retailsales&trading/relationshipservices>.

#### Key Questions to ask:

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

### What fees will I pay?

Retail investors will pay commissions or markups/markdowns directly/indirectly to their registered representative and the firm. Some investments, such as mutual funds and variable annuities, impose additional fees that will reduce the value of your investments over time. Those fees may include mutual fund expenses, variable annuities expenses, and surrender charges. You may also be charged other fees from the custodian of your account. These fees could include: maintenance fee, check copy fee, statement copy fee, returned checks, and asset transfers. Additionally, retail investors would be charged more transaction fees when there are more trades in their account and the firm therefore may have an incentive to encourage trading.

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. For additional information, please see <http://www.natalliance.com/retailsales&trading/fees>.

**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?**

**What are your legal obligations to me when providing recommendations? How else does your firm make money and what conflicts of interest do you have?**

*When we provide you with a recommendation, 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 recommendations we provide to you. Here are some examples to help you understand what this means. The firm makes money via transaction costs, mark-ups/mark-downs, third party products, proprietary products, and principal/agency trading. More information about our conflicts is available at <http://www.natalliance.com/disclosures>.*

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

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

Our financial representatives are compensated based on commissions received from buy or sell transactions and/or mark-ups/mark-downs associated with the trade. This compensation creates some conflicts with your interests because the more transactions a client investor has in their account the more commissions they will pay.

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

Yes. A free and simple search tool to research us and our financial professionals is available at [www.investor.gov/CRS](http://www.investor.gov/CRS).

**As a financial professional, do you have any disciplinary history? For what type of conduct?**

## Additional Information

To find additional information about NatAlliance Securities, the services offered and to request a copy of the relationship summary, please go to [www.natalliance.com](http://www.natalliance.com) or send us an email at [compliance@natalliance.com](mailto:compliance@natalliance.com). If you would like to request up-to-date information, as well as to request a copy of the relationship summary, please contact us via phone at 512-609-1700.

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