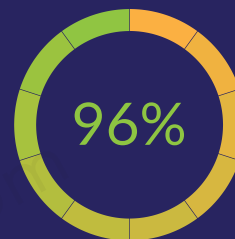


# Alpha Capital Management

## TRUST SCORE



Alpha Capital Management, federally registered in 2002, is a Registered Investment Advisor (RIA) in 12 state(s) with a licensed staff of 3 advisors. Alpha Capital Management manages \$572 million and provides investment advisory services for 325 clients (1:109 advisor/client ratio).

Annual management fees will not exceed 3.0% of assets under management.

## BENEFITS

- Firm uses a transparent fee-only model
- Firm uses a trusted custodian
- Firm has been federally registered for 16 years
- Communications sent to the firm's website are secure and encrypted
- Firm does not have a disciplinary history
- Firm does not have any misdemeanor convictions
- Firm does not have any felony convictions
- Firm does not have an insurance agent conflict
- Firm does not have an attorney conflict
- Firm does not accept performance-based fees
- Firm does not perform side-by-side management

## CONSIDERATIONS

- There is only one licensed advisor for every 109 clients (industry average 1:50)
- Firm has less than \$1B in assets under management
- Firm serves fewer than 1,000 clients
- Firm may receive soft-dollar benefits that could incentivize them to push trades through broker-dealers that provide advantages to the firm instead of through broker-dealers that could provide the best execution for their clients

## BENEFITS (cont.)

Firm does not privately manage or own the products they recommend

Firm does not offer proprietary products

## CONSIDERATIONS (cont.)