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Independent Advisor Alliance



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FORM ADV PART 2B
BROCHURE SUPPLEMENT

This brochure supplement provides information about Steven Dye that supplements the Independent Advisor Alliance brochure. You should have received a copy of that brochure. Please contact us at **888.430.1555** if you did not receive Independent Advisor Alliance brochure or if you have any questions about the contents of this supplement.

Additional information about Steven Dye is available on the SEC's website at www.adviserinfo.sec.gov.

Securities offered through LPL Financial, Member FINRA/SIPC. Investment Advice offered through Independent Advisor Alliance, a registered investment advisor. Independent Advisor Alliance and Forward Financial Group are separate entities from LPL Financial.

Item 2 Educational Background and Business Experience

Steven Dye
Year of Birth: 1992

Education:

- Wisconsin Lutheran College, Bachelor of Science – 2014

Business Background:

- Independent Advisor Alliance, LLC; Investment Advisor Representative, 2019 – present
- LPL Financial; Registered Representative, 2019 – present
- Waddell & Reed; Financial Advisor, 2014 – 2019
- Kingdom Workers; Accounting intern, 2012 – 2014

Item 3 Disciplinary Information

I am required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of my advisory business or integrity. I have no information applicable to this item. Additional information is contained on http://brokercheck.finra.org or www.adviserinfo.sec.gov that you may wish to review.

Item 4 Other Business Activities: None

In addition to offering advisory services, I also involved in the following investment-related businesses or occupations:

I am a registered representative of LPL Financial (“LPL”), a registered broker/dealer and member of the Financial Industry Regulatory Authority ("FINRA"). In this capacity, I may sell securities to clients and receive normal and customary compensation in the form of commissions. Clients are under no obligation to purchase or sell securities through me on a commissionable basis. In addition, I may receive other compensation such as mutual fund or money market 12b-1 fees and variable annuity trails. The potential for receipt of commissions and other compensation gives me an incentive to recommend investment products based on the compensation received, rather than on your needs. To address this, disclosure is made to you at the time a brokerage account is opened through LPL. Please refer to the *Fees and Compensation* section and the *Client Referrals and Other Compensation* section of Independent Advisor Alliance's firm brochure for additional disclosures on this topic.

I am affiliated with Forward Financial Group. This is a business name that is used as a DBA (do business as) for brokerage business conducted through LPL Financial and advisory business conducted through Independent Advisor Alliance.

I am also licensed as an independent insurance agent and appointed through various insurance companies to offer life insurance, long-term care insurance, fixed annuities, health and disability insurance. In such capacity, I can sell insurance products to clients and receive normal and customary compensation in the form of commissions. The potential for receipt of commissions

and other compensation gives me an incentive to recommend insurance products based on the compensation received, rather than on your needs. To address this, client's purchasing insurance will receive certain disclosure documents and complete an insurance application process when conducting such transactions.

Item 5 Additional Compensation

I may receive compensation from product sponsors. Such compensation may not be tied to the sales of any products. Compensation may include such items as gifts valued at less than $100 annually, an occasional dinner or ticket to a sporting event, or reimbursement in connection with educational meetings or marketing or advertising initiatives. Product sponsors may also pay for education or training events that I may attend.

I may also receive from LPL bonuses based on my production, awards of stock options to purchase shares of LPL's parent company, LPL Investment Holdings Inc., reimbursement of fees I pay to LPL for items such as administrative services, and other things of value such as complimentary or reduced-cost attendance at LPL's national sales conference or top producer forums and events. These financial incentives from LPL are based on my overall business production. However, in some cases, the incentives are greater for assets I service in advisory programs.

Item 6 Supervision

Robert Russo is the owner and CEO of Independent Advisor Alliance. Robert Russo and the Chief Compliance Officer, Jessica Sexton, are responsible for supervising the activities of our firm. Our firm has developed Written Supervisory Policies and Procedures which we follow that address my supervisory responsibilities including periodically reviewing investment recommendations, trades and communications with clients.

Robert Russo and/or Jessica Sexton can be reached at 888-430-1555.

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