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Independent Advisor Alliance



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FORM ADV PART 2B BROCHURE SUPPLEMENT

This brochure supplement provides information about Christopher J. Carpenter 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 Christopher J. Carpenter 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 SilverRock Wealth Partners are separate entities from LPL Financial.

Item 2 Educational Background and Business Experience

Christopher J. Carpenter

Year of Birth: 1985

Education:

- Kent State University – Business Administration – 2009

Business Background:

- Independent Advisor Alliance, LLC; Investment Advisor Representative, 2020 – present
- LPL Financial; Registered Representative, 2020 – present
- SilverRock Wealth Partners; Private Wealth Advisor, 2017 – 2020
- Janney Montgomery Scott, LLC; Financial Advisor, 2016 – 2017
- Stifel Financial Corp; Financial Advisor. 2016 – 2016

Certifications:

- Accredited Asset Management SpecialistSM (AAMS[®])

AAMS[®]

The **ACCREDITED ASSET MANAGEMENT SPECIALISTSM, AAMS[®]** certification is awarded to individuals who have completed a course of study encompassing investments, insurance, tax, retirement, and estate planning issues. Additionally, individuals must pass an end-of-course examination that tests their ability to synthesize complex concepts and apply theoretical concepts to real-life situations.

All designees have agreed to adhere to Standards of Professional Conduct and are subject to a disciplinary process.

Designees renew their designation every two-years by completing 16 hours of continuing education, reaffirming adherence to the Standards of Professional Conduct and complying with self-disclosure requirements.

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

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

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 him 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 SilverRock Wealth Partners 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.

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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