

# STEPHEN D. ALISON, CFP®

ALISON, LLC  
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**This brochure provides supplemental information about Stephen D. Alison, CFP® (“Stephen Alison”). This supplements the Alison, LLC brochure, which should have also been provided to you. Please contact Stephen Alison at Alison, LLC if you need the Alison, LLC brochure or if you have any questions.**

**Additional information about Alison, LLC is also available at the SEC’s website [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) (select “investment adviser firm” and type in our firm name). Results will provide you both Part 1 and 2 of our Form ADV.**



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## ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

### 2.A: FIRM DESCRIPTION

**Stephen D. Alison, CFP®**

Year Born: 1962

### 2.B: EDUCATIONAL BACKGROUND

University of Oregon (1982 - 1985)

University of Miami at Florida (1980 - 1981)

### 2.C: BUSINESS BACKGROUND

09/2004 – Present: *Founder, Chief Compliance Officer & Investment Advisor Representative, Alison, LLC*

09/2004 – Present: *Registered Representative, KMS Financial Services*

06/2004 – 09/2004: *Registered Representative, Walnut Street Securities*

07/1998 – 08/2002: *Investment Advisor Representative, Roehl & Sittner Investment Advisors, LLC*

### 2.D: PROFESSIONAL QUALIFICATIONS

Series 6, Investment Company Products/Variable Contracts Limited Representative Examination (1986)

Series 7, General Securities Representative Examination (1992)

Series 63, Uniform Securities Agent Laws (1991)

### 2.E: PROFESSIONAL DESIGNATION:

Certified Financial Planner (CFP®)

### 2.F: EXPLANATION OF DESIGNATION:

CFP®: (Certified Financial Planner)

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold a CFP® certification.

To attain the right to use the CFP® designation, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services, and as of January 2007, attain a Bachelor’s Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board’s financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and Client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year);
- Ethics – Agree to be bound by CFP Board’s Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks. This requires 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and renewal of an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their Clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board’s enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

### **ITEM 3 – DISCIPLINARY INFORMATION**

Stephen Alison has no legal or disciplinary events that are material to you or a prospective client’s evaluation of this advisory business.

## ITEM 4 – OTHER BUSINESS ACTIVITIES

The principal business of Alison, LLC is that of a registered investment advisor and provider of financial planning services. Stephen Alison is also an insurance agent and a registered representative of a FINRA broker-dealer firm. Employees who are insurance agents and registered representatives are paid fees and/or commissions for their services. In cases where we receive fees and/or commissions, there may be a conflict of interest. At all times, you are free to choose outside agents and/or broker-dealer firms to avoid the possibility of there being a conflict of interest.

As well, Mr. Alison engages in the following business activities:

- Rental Properties - Owner – Mr. Alison's duties include collecting rent from commercial real estate financial planning fees.
- Financial Planning - Planner - Mr. Alison's duties include comprehensive financial planning for a fee.
- Server Hosting – Owner - Mr. Alison's duties include renting out server space in the server room at Alison, LLC.
- Alison Tax Services - Managing Member - Mr. Alison's duties include consulting and responsibility for all business affairs related to the LLC.
- Alison & Hill PSP - Trustee - Mr. Alison's duties include administrative duties as needed for profit sharing plan.

## ITEM 5 – ADDITIONAL COMPENSATION

Other than work with Alison, LLC and any disclosures made in Items 2 and 4 above, Stephen Alison receives no additional compensation related to outside business activities.

## ITEM 6 – SUPERVISION

Stephen Alison is the sole managing member of Alison, LLC and is the supervising authority. Stephen Alison remains aware of and keeps us in compliance with the current rules and regulations put forth by each ruling regulatory authority where we conduct our business. Alison, LLC has established internal policies for the guidance of its trading personnel, specifying minimum and maximum commissions to be paid for various types and sizes of

transactions. Transactions, which vary from the guidelines, are subject to periodic supervisory review. These guidelines are reviewed yearly and periodically adjusted. The general level of brokerage commissions paid is periodically reviewed by Stephen Alison. Evaluations of the reasonableness of brokerage commissions are made by Alison, LLC's trading personnel while effecting portfolio transactions for clients.

Stephen Alison maintains and periodically updates a list of approved brokers and dealers, which is generally capable of providing best price and execution and is financially stable. Alison, LLC's traders are directed to use only brokers and dealers on the approved list, except in the case of client designations of brokers or dealers to effect transactions for such clients' accounts.

Stephen Alison is located at 450 Country Club Road, Suite 200, Eugene, Oregon 97401 and can be reached by calling (541) 342-3433.

## **ITEM 7 – REQUIREMENTS FOR STATE REGISTERED ADVISORS**

*State securities authorities require this disclosure and it is provided to you for evaluating this investment advisor representative's suitability.*

Other than any disclosures made in Item 3 above, Stephen Alison has not been found liable in any additional arbitration or liable in a civil, self-regulatory organization, or administrative proceeding involving an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Stephen Alison has never been the subject of a bankruptcy petition.