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## DISCLOSURE BROCHURE

March 28, 2024

This brochure provides information about the qualifications and business practices of Alexis Investment Partners, LLC. If you have any questions about the contents of this brochure, please contact us at (925) 457-5258. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Alexis Investment Partners, LLC is a registered with the Securities and Commission; being registered with the SEC does not imply a certain level of skill or training. Additional information about Alexis Investment Partners, LLC also is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 2: Material Changes**

Pursuant to Texas and SEC rules, Alexis Investment Partners, LLC. will ensure that clients receive a summary of any material changes to this and subsequent disclosure brochures within 120 days after the Firm's fiscal year end, December 31. This means that if there were any material changes over the past year, clients will receive a summary of those changes no later than April 30. At that time, Alexis Investment Partners, LLC will also offer a copy of its most current disclosure brochure and may also provide other ongoing disclosure information about material changes as necessary. If there are no material changes over the past year, no notices will be sent.

Clients and prospective clients can always receive the most current disclosure brochure for Alexis Investment Partners, LLC at any time by contacting their investment advisor representative.

Since the Firm's last annual updating amendment dated February 2, 2023, the Firm has the following material changes to report:

- Item 4- Advisory Business: New offering- Model Services
- Item 5- Fees and Compensation: Fee information regarding new Model Services.
- Item 11- Code of Ethics, Participation or Interest in Client Transactions and Personal Trading: Removed preapproval of all trades through CCO.

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## **Item 4: Advisory Business**

Alexis Investment Partners, LLC (AIP) is a Limited Liability Company organized under the laws of the state of Texas in 2020. AIP is an investment advisory firm registered with the Securities and Exchange Commission. Jason William Browne is the principal owner of AIP.

### **Personal Wealth Management**

We work with individuals and families to identify their investment goals, objectives, risk tolerance, past experience and preferences. Based on the information you provide to your investment advisor representative (“IAR”), your portfolio is designed to complement your financial situation and personal circumstances and implemented on a discretionary basis. Our investment strategy involves making active adjustments to your asset allocation and underlying investments based on our assessment of current risks and opportunities. Your IAR will explain the risks associated with this approach and will assign a model and establish a portfolio benchmark based on that model which we will include on your performance reports.

AIP may purchase, sell, and/or exchange securities including, but not limited to, mutual funds, equities, options, fixed income instruments, closed-end mutual funds, exchange traded funds, and variable life and annuity subaccounts. Margin may be used as a part of this strategy. AIP uses model portfolios to guide investment decisions, but individual accounts will vary from these models for several reasons including account size, the timing of cash flows, account features, tax status and client preferences. You have the opportunity to place reasonable restrictions on the type of investments to be held in your portfolio. AIP may periodically rebalance your account to maintain the initially agreed upon strategic asset allocation and effect subsequent tactical asset allocation adjustments.

### **Investment Advisor to Retirement Plans, Institutions and Small Businesses**

AIP serves as a 3(38) Fiduciary Advisor to small business 401k plans. AIP works with the sponsor company and appropriate service providers to design plan features, evaluate and select service providers, establish and monitor the fund lineup, provide model portfolios and assist with participant education.

AIP manages Personal Choice Retirement Accounts (“PCRA”) for plan participants when allowed by their company 401k plans. These PCRA accounts are individually managed as Personal Wealth Management Clients.

AIP manages SEP IRA and HSA accounts.

AIP manages charitable accounts including donor advised funds, foundations, and charitable remainder trusts. Such portfolios are designed and implemented based on the cash flow needs, preferences and restrictions of each account owner, governing documents or investment committee.

AIP manages accounts for organizations including long-term investments and shorter-term working capital. Such organizations include reserve accounts for captive insurance programs, professional associations, and other similar organizations. AIP works with the appropriate board, investment committee and designated individuals to assure that the portfolio is designed and managed in a manner consistent with the organization’s objectives, governing documents, restrictions and guidelines and cash flow/liquidity needs.

AIP also acts as adviser to the Alexis Practical Tactical ETF (“ETF”, LEXI).

### **Financial Planning Services**

AIP may provide both comprehensive and modular financial planning services. These services may take into consideration a broad range of financial concerns including Retirement Planning, Estate Planning, Tax Planning, College Planning, Social Security and Medicare Planning, Life and Long-term Care Insurance, Budgeting and Debt Management, and other related discussions.

Financial plans incorporate both business and personal assets and often include discussions and recommendations related to mortgages, real estate, and self-directed investments.

Alexis does not sponsor or participate in any wrap fee programs.

## Model Services

AIP provides model investment portfolios to other third-party advisors and institutions who recommend them to their respective clients. AIP does not work directly with the clients of the third-party advisors or institutions. Each third-party advisor or institution is responsible for ensuring their own clients are invested in the appropriate model(s) according to the individual client's investment profile.

## Needs and Restrictions

In managing your investment portfolio, we consider your: financial situation, risk tolerance, investment horizon, liquidity needs, tax considerations, investment objectives, and any other issues important to your state of affairs.

You should notify us promptly of any changes in your financial situation or investment objectives or if you wish to impose any reasonable restrictions upon the management of your account.

## Assets under Management

As of December 31, 2023, we managed approximately \$ 159,992,498 dollars in client assets on a discretionary basis. Approximately \$0 dollars in client assets were managed on a non-discretionary basis where our clients made the investment decisions based upon our recommendations.

## Item 5: Fees and Compensation

We offer our services on a fee-only basis. Fees are charged in advance. Our fee is calculated based upon the market value of the assets in your account on the last day of the previous month.

### Management Fees:

Unless specified below, management fees are based on the following fee schedule:

Assets under Management	Annual Management Fee
\$0 to \$1,000,000	0.85%
\$1,000,001 to \$3,000,000	0.75%
\$3,000,001 to \$5,000,000	0.65%
>\$5 million	0.50%

Assets under Management are calculated at a Household level, as agreed. As each tier is achieved, that fee is assessed back to the first dollar.

### Management Fees for Qualified Plans:

AIP's management fees for qualified plans are individually negotiated per plan. A minimum annual fee of \$1,200 is charged per plan.

Our management fee is negotiable, at the sole discretion of AIP, taking into account the specific needs of each client. Client fees are payable monthly, in advance, based on assets under management. Minimum fees may apply.

Financial planning services may be included as a component of a personal wealth management relationship. Financial planning may also be provided for a pre-negotiated fixed fee.

AIP does not charge an additional introductory or management fee based on account AUM for its model services. AIP will receive a management fee on its proprietary ETF (Alexis Practical Tactical ETF, Ticker: LEXI) as described in the prospectus.

Broker-dealers and other financial institutions that hold client accounts are referred to as custodians ("custodian/broker-dealer"). Your custodian/broker-dealer determines the values of the assets in your portfolio.

Fees for the initial period are based on the value of your cash and securities on the date the custodian/broker-dealer

receives them and are prorated based upon the number of calendar days in the calendar quarter that our agreement is in effect.

## **General Fee Information**

You must authorize us in writing to have the custodian pay us directly by charging your account. Fees are deducted monthly based upon your advisory agreement with us.

Your custodian/broker-dealer provides you with statements that show the amount paid directly to us. You should review and verify the calculation of our fees. Your custodian/broker-dealer does not verify the accuracy of fee calculations.

In addition to our fee, you may be required to pay other charges such as: custodial fees, brokerage commissions, transaction fees, SEC fees, internal fees and expenses charged by mutual funds or exchange traded funds (“ETFs”), and other fees and taxes on brokerage accounts and securities transactions.

Mutual fund companies, ETFs, and variable annuity issuers charge internal fees and expenses for their products. These fees and expenses are in addition to any advisory fees charged by us. Complete details of these internal fees and expenses are explained in the prospectus for each investment. You are strongly encouraged to read these explanations before investing any money. You may ask us any questions you have about fees and expenses.

If you purchase mutual funds through the custodian/broker-dealer, you may pay a transaction fee that would not be charged if the transactions were made directly through the mutual fund company. Also, mutual funds held in accounts at brokerage firms may pay internal fees that are different from funds held at the mutual fund company.

While you may purchase shares of mutual funds directly from the mutual fund company without a transaction fee, those investments would not be part of our advisory relationship with you. This means that they would not be included in our investment strategies, investment performance monitoring, or portfolio reallocations.

Please be sure to read the section entitled “Brokerage Practices,” which follows later in this brochure.

Advisory fees are charged in advance on a monthly basis. Should you terminate the advisory agreement we have entered into within five (5) business days from the date the agreement is executed, you will receive a full refund of any fees paid.

Should either one of us terminate the advisory agreement we have entered into before the end of a billing period, any unearned fees that were deducted from your account will be returned to you by us. The amount refunded to you is calculated by dividing the most recent advisory fee you paid by the total number of days in the month. This daily fee is then multiplied by the number of calendar days in the quarter that our agreement was in effect. This amount, which equals the amount we earned for the partial month, is subtracted from the total fee you paid in advance to determine your refund.

## **Other Fees**

AIP may invest client assets in the ETF managed by AIP, if such investments are consistent with the investment objectives and policies of the client accounts involved. If AIP makes such an investment on behalf of its clients, those clients will be responsible, indirectly as investors in the ETF, for a portion of the operating expenses and investment advisory fees. No separate management fee is charged by AIP on the portion of a client’s account that is invested in the Alexis Practical Tactical ETF for which AIP serves as the adviser.

## **Item 6: Performance-Based Fees**

Performance-based fees are designed to give a portion of the returns of an investment to the investment adviser as a reward for positive performance. The fee is generally a percentage of the profits made on the investments. We do not charge performance-based fees on any of our client accounts.

## **Item 7: Types of Clients**

We provide advisory services primarily to individuals and to high net worth individuals, including their trusts, estates, and retirement accounts. We also provide services to corporations or business entities including their pension and profit sharing plans.

The account minimum for the Alexis Managed Account Program is \$500,000. We may accept clients with smaller portfolios based upon certain factors including anticipated future earning capacity, anticipated future additional assets, account composition, related accounts, and pre-existing client relationships. We may consider the portfolios of your family members to determine if your portfolio meets the minimum size requirement. Minimum account size may be waived by AIP solely at its discretion.

## **Item 8: Methods of Analysis, Investment Strategies and Risk of Loss**

We select specific investments for your portfolios through the use of fundamental, cyclical, and technical analysis, as well as charting.

Fundamental analysis is a method of evaluating a company that has issued a security by attempting to measure the value of its underlying assets. It entails studying overall economic and industry conditions as well as the financial condition and the quality of the company's management. Earnings, expenses, assets, and liabilities are all important in determining the value of a company. The value is then compared to the current price of the issuing company's security to determine whether to purchase, sell or hold the security.

Cyclical analysis is a form of fundamental analysis that involves the process of making investment decisions based on the different stages of an industry at a given point in time.

Technical analysis is a method of evaluating securities by analyzing statistics generated by market activity, such as past prices and volume. Technical analysts do not attempt to measure a security's intrinsic value, but instead use charts and other tools to identify patterns that can suggest future activity.

Charting involves identifying patterns that can suggest future activity in price movements. A chart pattern is a distinct formation on a stock chart that creates a trading signal or a sign of future price movements. Chartists use these patterns to identify current trends and trend reversals to trigger buy and sell signals. Some of the chart types are Line Charts, Bar Charts, Candlestick, Point and Figure, etc.

Our investment strategies may include long-term and short-term purchases and sales, trading (securities sold within 30 days) and the use of options, margin, and short sales. You may place reasonable restrictions on the strategies to be employed in your portfolio and the types of investments to be held in your portfolio.

All investments involve risks that can result in: loss of principal, a reduction in earnings (including interest, dividends and other distributions), and the loss of future earnings.

Additionally, these risks may include: market risk, interest rate risk, issuer risk, and general economic risk.

Although we manage your portfolio in a manner consistent with your risk tolerances, we cannot guarantee that our efforts will be successful. You should be prepared to bear the risk of loss.

Frequent trading can affect portfolio performance, particularly through increased brokerage and other transaction costs (if applicable) and taxes. Infrequent trading can affect portfolio performance, particularly through ongoing fees and other costs (if applicable) that may cost more than trading commissions. Additionally, you should be aware that the use of margin, options and short sales are higher risk strategies. It is possible to lose all of the principal you invest, and sometimes more. In a cash account, your risk is limited to the amount of money that you have invested. In a margin account, your risk includes the amount of money invested plus the amount that has been loaned to you. When you short sell, your losses can be infinite.

### **Risks Associated with Particular Investments**

Described below are some risks associated with specific types of investments that an investment adviser representative may recommend. Many of these investments are usually sold by use of a prospectus or other offering document. Clients should review those documents carefully for more detailed information regarding risk.

### **Mutual Funds**

A mutual fund is a company organized to aggregate the funds of individual investors into a pool that invest in

securities such as stocks, bonds, and short-term debt. The assets of the mutual fund are known as its portfolio. Individual investors purchase shares in the mutual fund. These shares represent the investors ownership in the mutual fund and the income or capital gains that it generates. The combined holdings of the mutual fund are known as its portfolio. Investors buy shares in mutual funds. The investor may lose some or all of the money that they invest because the securities held by a fund can go down in value. Dividends or interest payments may also change as market conditions change. Dividends and/or interest payments may also fluctuate as market conditions fluctuate. Past performance does not guarantee future results.

## **Closed-End Funds**

Closed-end funds are illiquid and may not be readily marketable. In an effort to provide investor liquidity, the funds may offer to repurchase a certain percentage of shares from time to time. Thus, clients may be unable to liquidate all or a portion of their shares in these types of funds when they desire to do so.

## **Exchange-Traded Funds (“ETFs”)**

ETFs are typically investment companies that are legally classified as open end mutual funds or unit investment trusts. However, they differ from traditional mutual funds in that ETF shares are listed on a securities exchange. Shares can be bought and sold throughout the trading day like shares of other publicly- traded companies. ETF shares may trade at a discount or premium to their net asset value. This difference between the bid price and the ask price is often referred to as the “spread.” The spread varies over time based on the ETF’s trading volume and market liquidity and is generally lower if the ETF has high trading volume and high market liquidity. Conversely, the spread is generally higher if the ETF has low trading volume and low market liquidity. ETFs may be closed and liquidated at the discretion of the issuing company.

## **Exchange-Traded Notes (“ETNs”)**

An ETN is a senior unsecured debt obligation designed to track the total return of a particular company, sector, market index or other benchmark. ETNs may be linked to a variety of assets, such as commodity futures, foreign currency and equities. ETNs are similar to ETFs in that they are listed on an exchange and can typically be bought or sold throughout the trading day. An ETN is not a mutual fund and does not have a net asset value. Rather, the ETN trades at the prevailing market price. Some of the more common risks of an ETN are: 1) the repayment of the principal, interest (if any) and the payment of any returns at maturity or upon redemption are dependent upon the ETN issuer’s ability to pay; or 2) the trading price of the ETN in the secondary market may be adversely impacted if the issuer’s credit rating is downgraded. The asset or asset class to which the ETN is linked may carry specific risks not associated with a particular index or sector. ETNs may be closed and liquidated at the discretion of the issuing company.

## **Options**

An option is a contract that gives the buyer the right, but not the obligation, to buy or sell an underlying asset at a specific price on or before a certain date. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells their option in the secondary market nor exercises it prior to its expiration will necessarily lose their entire investment in the option. An option writer may be assigned an exercise at any time during the period the option is exercisable. Starting with the day it is purchased, an American-style option is subject to being exercised by the option holder at any time until the option expires. This means that the option writer is subject to being assigned an exercise at any time after they have written the option until the option expires or until they have closed out their option position in a closing transaction. By contrast, the writer of an European-style or capped option is subject to assignment only when the option is exercisable or, in the case of a capped option, when the automatic exercise value of the underlying interest hits the cap price. For more information regarding the risks of options, please read the “Characteristics and Risks of Standardized Options” brochure, which can be found at [www.optionsclearing.com](http://www.optionsclearing.com).

## **Bonds, High-Yield Bonds and Other Debt Obligations**

High-yield bonds and other debt obligations are issued by companies or municipalities that do not qualify for “investment-grade” ratings by one or more rating agencies. These bonds carry a greater risk of failure to repay both principal and interest and a greater risk of default than those obligations that are rated investment-grade. The potential deterioration of an issuer’s financial health or a downgrade in its rating will increase the risk of default. There is also the



risk that the bond's market value will decline as interest rates rise and that an investor will not be able to liquidate a bond before maturity.

## **Variable Annuities and Variable Life Insurance**

A variable annuity is a life insurance contract that has an investment component. Its value can therefore fluctuate with market conditions. Clients choose how to participate in financial markets by choosing among several "subaccounts" available within the annuity. Client should also be aware that certain riders purchased with a variable annuity may limit the investment options and the ability to manage the subaccounts.

## **Equities**

Investing in individual stocks carries certain risks. Among these risks are Systematic risk - also known as market risk, this is the potential for the entire market to decline. Systematic risk cannot be diversified away. Unsystematic risk - the risk that any one stock may go down in value, independent of the stock market as a whole. Business risk is the possibility a company will have lower than anticipated profits or experience a loss rather than taking a profit. An event risk is the possibility that an unforeseen event will negatively affect a company, industry, or security.

## **Item 9: Disciplinary Information**

Neither Alexis Investment Partners, LLC nor its principal owner has been involved in a legal or regulatory matter that is required to be disclosed in this brochure.

## **Item 10: Other Financial Industry Activities and Affiliations**

As noted in the Advisory Business section, AIP acts as adviser to the Alexis Practical Tactical ETF.

Certain AIP IARs are licensed as insurance agents with various insurance companies. Commissions may be earned by our IARs if insurance products are purchased through these insurance companies. These arrangements present a conflict of interest because they create an incentive to make recommendations for the purchase or sale of insurance policies based upon the amount of compensation your IAR can receive rather than based upon your needs. As previously noted, we will explain the specific costs associated with any recommended insurance products with you. You have the option to purchase insurance products through other brokers or agents who are not affiliated with us.

Alexis does not have an application pending to register as a broker-dealer. None of the owners nor any member of the management team is registered with a broker-dealer as a registered representative.

Alexis is not registered, nor does it have an application pending to register, as a futures commission merchant, commodity pool operator, a commodity trading advisor. None of the owners nor any member of the management team is registered with a futures commission merchant, commodity pool operator, or a commodity trading advisor as a registered representative.

## **Item 11: Code of Ethics, Participation or Interest in Client Transactions and Personal Trading**

Alexis has a Code of Ethics ("Code"), the full text of which is available to you upon request. Alexis's Code has several goals. The Code is designed to assist Alexis in complying with applicable laws and regulations governing its investment advisory business. The Code requires persons associated with Alexis (managers, officers, and employees) to act with honesty, good faith and fair dealing in working with clients. In addition, the Code prohibits such associated persons from trading or otherwise acting on insider information.

The Code sets forth guidelines for professional standards for Alexis's associated persons. Under the Code's Professional Standards, Alexis expects its associated persons to put the interests of its clients first, ahead of personal interests. In this regard, Alexis associated persons are not to take inappropriate advantage of their positions in relation to Alexis clients.

The Code sets forth policies and procedures to monitor and review the personal trading activities of associated

persons. From time to time, Alexis's associated persons may invest in the same securities recommended to clients. Under its Code, Alexis has adopted procedures designed to reduce or eliminate conflicts of interest that this could potentially cause. The Code's personal trading policies include procedures for limitations on personal securities transactions of associated persons, reporting and review of such trading and pre-clearance of certain types of personal trading activities. These policies are designed to discourage and prohibit personal trading that would disadvantage clients. The Code also provides for disciplinary action as appropriate for violations.

Our investment advisors and employees are permitted to buy or sell the same securities for their personal and family accounts that are bought or sold for your account(s). The personal securities transactions by investment advisor and employees may raise potential conflicts of interest when they trade in a security that is: owned by you; or considered for purchase or sale for you.

We have adopted policies and procedures that are intended to address these conflicts of interest. These policies and procedures: require our investment advisors and employees to act in your best interest; prohibit favoring one client over another; and review of transactions to discover and correct any same-day trades that result in an investment advisor or employee receiving a better price than a client.

Neither Alexis nor a related person recommends, buys or sells for client accounts, securities in which our firm or a related person has a material financial interest without prior disclosure to the client.

Additionally, personal securities transactions by access persons are subject to the following trading restrictions:

Access persons are prohibited from acquiring any securities in an initial public offering (IPO) without first obtaining written pre-clearance from the CCO or her designee. The prior approval must take into account, among other factors, whether the investment opportunity should be reserved for clients, and whether the opportunity is being offered to an individual by virtue of their position with Alexis.

Upon receiving a request for pre-clearance, the CCO or his/her designee will review the intended transaction for consideration. The final decision will then be sent in writing to the access person requesting the permission for the IPO. Only upon receipt of the written approval from Alexis can the access person then engage in the purchase of the requested IPO. The access person making the request and the CCO or her designee must maintain final written approval or denial for their files.

Access persons are prohibited from acquiring any securities in a limited offering (i.e., private placement) without first obtaining written pre-clearance from the CCO or her designee. The prior approval must consider, among other factors, whether the investment opportunity should be reserved for clients, and whether the opportunity is being offered to an individual by virtue of their position with Alexis. Upon receiving a request for pre-clearance, the CCO or his/her designee will review the intended transaction for consideration. The final decision will then be sent in writing to the access person requesting the permission for the limited offering. Only upon receipt of the written approval from Alexis can the access person then engage in the purchase of the requested limited offering. The access person making the request and the CCO or his/her designee must maintain final written approval or denial for their files.

Investment advisors and employees must follow our procedures when purchasing or selling the same securities purchased or sold for you. They may participate along side clients in bunch trades.

Alexis advisors are prohibited from recommending any limited offering (i.e., private placement) in which they have a material financial interest (i.e., majority ownership, board position).

## **Item 12: Brokerage Practices**

Unless directed otherwise, we generally recommend a firm as your broker-dealer and as your custodian. That firm will assist us in servicing your account.

In recommending a firm as custodian and as the securities brokerage firm responsible for executing transactions for your portfolios, we consider at a minimum the Institution's: financial strength, reputation, reporting capabilities, execution capabilities, pricing, and types and quality of research.

The determining factor in the selection of a firm to execute transactions for your accounts is not the lowest possible transaction cost, but whether the firm can provide what is in our view the best qualitative execution for your account.

A recommended firm may provide us with access to institutional trading and custody services, which includes:

brokerage, custody, research, and access to mutual funds and other investments that are otherwise generally available only to institutional investors or would require a significantly higher minimum initial investment.

We are not required to place a minimum volume of transactions or maintain a minimum dollar amount of client assets to receive these services.

The firm that we recommend does not charge separately for holding our clients' accounts, but may be compensated by you through other transaction-related fees associated with the securities transactions it executes for your accounts.

The firm may also make available to us other products and services that benefit us but may not benefit you directly. Some of these products and services assist us in managing and administering our client accounts, such as software and other technology that: provide access to account data such as: duplicate trade confirmations, bundled duplicate account statements, and access to an electronic communication network for client order entry and account information; facilitate trade execution, including: access to a trading desk serving advisory participants exclusively and access to block trading which provides the ability to combine securities transactions and then allocate the appropriate number of shares to each individual account; provide research, pricing information and other market data; facilitate payment of our fees from client accounts; and assist with back-office functions, record keeping and client reporting; and receipt of compliance publications.

The firm may also make available to us other services intended to help us manage and further develop our business. These services may include: consulting, publications and conferences on practice management, information technology, business succession, regulatory compliance, and marketing.

The firm may also make available or arrange for these types of services to be provided to us by independent third parties. The firm may discount or waive the fees it would otherwise charge for some of the services it makes available to us. It may also pay all or a part of the fees of a third party providing these services to us. Thus, we receive economic benefits as a result of our relationship with the firm, because we do not have to produce or purchase the products and services listed above.

Because the amount of our compensation or the products or services we receive may vary depending on the custodian/broker-dealer we recommend to be used by our clients, we may have a conflict of interest in making that recommendation. Our recommendation of specific custodian/broker-dealers may be based in part on the economic benefit to us and not solely on the nature, cost or quality of custody and brokerage services provided to you and our other clients. We nonetheless strive to act in your best interests at all times.

Commissions and other fees for transactions executed through the firm may be higher than commissions and other fees available if you use another custodian/broker-dealer firm to execute transactions and maintain custody of your account. We believe, however, that the overall level of services and support provided to our clients by the firm outweighs the benefit of possibly lower transactions cost which may be available under other brokerage arrangements.

You may direct us in writing to use a particular broker-dealer to execute some or all of the transactions for your account. If you do so, you are responsible for negotiating the terms and arrangements for the account with that broker-dealer. We may not be able to negotiate commissions, obtain volume discounts, or best execution. In addition, under these circumstances a difference in commission charges may exist between the commissions charged to clients who direct us to use a particular broker or dealer and other clients who do not direct us to use a particular broker or dealer.

We may engage in bunched trading, which is the purchase or sale of a security for the accounts of multiple clients in a single transaction. If a bunched trade is executed, each participating client receives a price that represents the average of the prices at which all of the transactions in a given bunch were executed. Executing a bunched trade allows transaction costs to be shared equally and on a pro rata basis among all of the participating clients. If the order is not completely filled, the securities purchased or sold are distributed among participating clients on a pro rata basis or in some other equitable manner.

Bunched trades are placed only when we reasonably believe that the combination of the transactions provides better prices for clients than had individual transactions been placed for clients. Transactions for nondiscretionary client accounts are not bunched with transactions for discretionary client accounts. Transactions for the accounts of our employees and advisory representatives may be included in bunched trades. They receive the same average price and pay the same commissions and other transaction costs, as clients. Transactions for the accounts of our advisory representatives or employees will not be favored over transactions for client accounts.

We are not obligated to include any client account in a bunched trade. Your trades will not be included in a bunched

trade if doing so is prohibited or otherwise inconsistent with your investment advisory agreement. No client will be favored over any other client.

### **Item 13: Review of Accounts**

Reviews are performed annually or more often upon your request. We initially review your information to determine whether a particular advisory program or investment strategy is suitable for you. We also review and update your financial status, goals and objectives on an annual basis to document continued suitability. More frequent reviews may be triggered by material changes in your individual circumstances, changes or shifts in the economy, changes in the management of mutual funds, or market shifts and corrections. Your advisory representative is responsible for reviewing your account. Certain clients, dependent upon their choice of investment program, receive quarterly reports showing the investment performance in their account.

## **Item 14: Client Referrals and Other Compensation**

Alexis does not directly or indirectly compensate any person who is not a supervised person of Alexis for client referrals. Alexis does not accept an economic benefit for providing investment advice or other advisory services to our clients from any other party.

## **Item 15: Custody**

You will receive statements from the custodian/broker-dealer that holds your investment account on at least a quarterly basis. You should verify that the transactions in your account are consistent with your investment goals and the objectives for your account. We also encourage you to contact your investment advisor or our CCO should you have any questions or concerns regarding your account. We will adhere to all safeguards to ensure the proper custody of your investment assets.

You must authorize us to have the custodian/broker-dealer pay us directly by charging your account. This authorization must be provided in writing. Fees are deducted monthly in advance.

The custodian/broker-dealer provides you with statements that show the amount paid directly to us. You should review and verify the calculation of our fees. The custodian/broker-dealer does not verify the accuracy of fee calculations.

## **Item 16: Investment Discretion**

We offer our advisory services on a discretionary basis. Discretionary means that we do not need advance approval from you to determine the type and amount of securities to be bought and sold or the timing of such transactions.

Additionally, we do not have the ability to withdraw funds from your account (other than to withdraw our advisory fees which, may only be done with your prior written authorization.) This discretion is used in a manner consistent with the stated investment objectives for your account. We only exercise discretion in accounts where we have been authorized by you. This authorization is typically included in the investment advisory agreement you enter into with us and account opening documents with your custodian.

## **Item 17: Voting Client Securities**

We do not take any action or give any advice with respect to voting of proxies solicited by or with respect to the issuers of securities in which your accounts may be invested, unless you specifically authorize us to do so by completing the appropriate custodian authorization. In addition, we do not take any action or give any advice with respect to any securities held in any accounts that are named in or subject to class action lawsuits. We will, however, forward to you any information received by us regarding proxies and class action legal matters involving any securities held in your accounts. AIP does vote proxies for the Alexis Practical Tactical ETF.

## **Item 18: Financial Information**

We have no financial commitment that impairs our ability to meet contractual and fiduciary commitments to you and we have not been the subject of a bankruptcy proceeding. We do not require prepayment of more than \$1,200 in fees per client, six months or more in advance.



## **Jason Browne**

103 Casterly Green Ct  
Montgomery TX 77316  
Phone: (925) 457-5258

March 28, 2024

The Brochure Supplement provides information about Jason W. Browne that supplements the Alexis Investment Partners, LLC Brochure. You should have received a copy of the Brochure. Please contact the Chief Compliance Officer, if you did not receive Alexis Investment Partners, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Jason W. Browne (CRD#2624951) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Jason W. Browne**

Born: 1970

Post-Secondary Education:

- San Francisco State, Bachelor's Degree, 1994
- St. Mary's College, Master of Business Administration, 2008
- Successfully passed the Series 65, Series 7, Series 63, Series 31 exams

Professional Designations:

- **Chartered Financial Consultant** (ChFC®) - The Chartered Financial Consultant® (ChFC®) helps meet the advanced financial planning needs of individuals, professionals, and small business owners. Key financial planning disciplines are studied, including insurance, income taxation, retirement planning, investments, and estate planning. The (ChFC®) requires three years of full-time, relevant business experience, eight 2-hour course specific proctored exams, and 30 hours of continuing education every two years.  
Holders of the (ChFC®) designation must adhere to The American College's Code of Ethics.

Recent Business Experience:

- President of Alexis Investment Partners, LLC, 06/2021- Present
- CCO of Alexis Investment Partners, LLC, 06/2021- 11/2022
- Investment Advisor Representative at Sowell Management, 04/2019 – 06/2021
- CIO and Portfolio Manager at FundX Investment Group, 06/2000 – 04/2019

## ITEM 3 - DISCIPLINARY INFORMATION

Jason W. Browne has no history of any legal or disciplinary events that deems to be material to a client's consideration of Mr. Browne to act as their investment adviser representative. FINRA's BrokerCheck® may have additional information regarding the disciplinary history of Jason W. Browne that is not included in this brochure supplement.  
(<http://brokercheck.finra.org/Support/TermsAndConditions.aspx>)

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#### **ITEM 4 - OTHER BUSINESS ACTIVITIES**

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Mr. Browne engages in no other business activities outside the scope of his employment with Alexis Investment Partners, LLC.

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#### **ITEM 5 - ADDITIONAL COMPENSATION**

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Jason W. Browne receives no additional compensation the scope of his employment with Alexis Investment Partners, LLC.

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#### **ITEM 6 - SUPERVISION**

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Jason W. Browne is supervised through a compliance program designed to prevent and detect violations of the federal and state securities laws. Supervision is conducted by the Chief Compliance Officer (CCO), Janet Messer, who is responsible for administering the firm's policies and procedures. The CCO reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation and ensures that all policies and procedures of the firm are followed. The CCO may be reached at (720)210-9471.

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#### **PORTFOLIO CONSTRUCTION**

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This section describes the management style of the client portfolios and provides a description of the management of portfolio selections, risk tolerance, and individual client models.

Portfolios are generally constructed first by developing a financial plan. This financial plan is not intended to be comprehensive but to form clear goals for each client and to determine client investment objectives and risk tolerance. Using this information as a reasonable basis, a core asset allocation is determined. Client portfolios are invested based on personalized recommendations into strategic allocations that are developed and managed by Mr. Browne and are generally constructed of Mutual Funds, Exchange Traded Funds (ETF), and at times individual stocks along with covered calls. These strategic allocations are created and managed using input from multiple research providers along with Mr. Browne's decades of experience as a financial adviser, portfolio manager and investment strategist. Additionally, clients may place reasonable restrictions and investment guidelines on transactions in certain types of legacy security positions which they wish to maintain and hold alongside their portfolio investments. Where possible, trades in models are executed and traded in blocks to achieve average pricing for best execution.





**Alexis Viroya Browne Roberts**

**Alexis Investment Partners, LLC**

103 Casterly Green Ct

Montgomery TX 77316

Phone: (925) 457-5258

October 22, 2024

The Brochure Supplement provides information about Alexis Viroya Browne Roberts that supplements the Alexis Investment Partners, LLC Brochure. You should have received a copy of the Brochure. Please contact the Chief Compliance Officer, if you did not receive Alexis Investment Partners, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Alexis Viroya Browne Roberts (CRD# 7262063) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Alexis Viroya Browne Roberts

Born: 1999

### Post-Secondary Education:

- Lehigh University, Bachelor's of Science: Economics, August 2020
- Lehigh University, Technology, Research, and Communication (TRAC) Fellow, May 2020
- Lehigh University, Technology, Research, and Communication (TRAC) Lead TRAC Writing Fellow, May 2020
- Bloomberg Market Concepts (BMC), April 2019
- Successfully passed Series 65 exam

### Professional Designations:

#### **ChFC®- Chartered Financial Consultant**

The Chartered Financial Consultant® (ChFC® ) program prepares charter holders to meet the advanced financial planning needs of individuals, professionals and small business owners, with in-depth coverage of the key financial planning disciplines, including insurance, income taxation, retirement planning, investments and estate planning. The ChFC® requires three years of full-time, relevant business experience, nine two-hour course specific proctored exams, and 30 hours of continuing education every two years. Holders of the ChFC® designation must adhere to The American College's Code of Ethics.

### Minimum Qualifications:

- Bachelor's degree or its equivalent, in any discipline, from an accredited university, this qualifies as one year of business experience
- Three years of full-time business experience is required; this three-year period must be within the five years preceding the date of the award (part-time qualifying business experience is also credited toward the three-year requirement with 2,000 hours representing the equivalent of one year full-time experience).
- Must fulfill the ChFC® seven course curriculum, as well as two additional elective courses
- Pass the exams for all required and elective courses
- Pass a background check and candidate fitness standards test. You must reveal any criminal history, pending litigation or ethical violations. The CFP board verifies all employment history, qualifications and disciplinary issues via FINRA's Central Registration Depository.

### Recent Business Experience:

- Alexis Investment Partners – COO and Portfolio Manager, 07/2021 - Present
- Alexis Investment Partners – Investment Advisor Representative, 11/2020- Present
- Sowell Management – IAR, 06/2020 – 06/2021
- Thompson Portfolio – Portfolio Manager, 04/2019 – 08/2020
- FundX Investment Group – Intern, 06/2016 – 08/2017
- Student – Lehigh University, 08/2017 – 08/2020
- Student – Carondelet, 08/2013 – 05/2017

### **ITEM 3 - DISCIPLINARY INFORMATION**

Alexis Viroya Browne Roberts has no history of any legal or disciplinary events that deems to be material to a client's consideration of Mrs. Roberts to act as their investment adviser representative. FINRA's BrokerCheck® may have additional information regarding the disciplinary history of Alexis Viroya Browne Roberts that is not included in this brochure supplement. (<http://brokercheck.finra.org/Support/TermsAndConditions.aspx>)

### **ITEM 4 - OTHER BUSINESS ACTIVITIES**

Alexis Viroya Browne Roberts is licensed to sell insurance and does so by holding appointments directly with various insurance companies. Commissions are earned by Mrs. Roberts if insurance products are purchased through these insurance companies. The above arrangement presents a conflict of interest because they create an incentive to make recommendations based upon the amount of compensation we receive rather than based upon your needs. We will explain the specific costs associated with any recommended investments with you. However, you are under no obligation, contractually or otherwise, to purchase insurance products through any person affiliated with our firm.

### **ITEM 5 - ADDITIONAL COMPENSATION**

Alexis Viroya Browne Roberts receives commissions from the sale of insurance.

### **ITEM 6 - SUPERVISION**

Alexis Viroya Browne Roberts is supervised through a compliance program designed to prevent and detect violations of the federal and state securities laws. Supervision is conducted by the Chief Compliance Officer (CCO), Janet Messer, who is responsible for administering the firm's policies and procedures. The CCO reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation and ensures that all policies and procedures of the firm are followed. The CCO may be reached at (720)210-9471.

### **PORTFOLIO CONSTRUCTION**

This section describes the management style of the client portfolios and provides a description of the management of portfolio selections, risk tolerance, and individual client models.

Portfolios are generally constructed first by developing a financial plan. This financial plan is not intended to be comprehensive but to form clear goals for each client and to determine client investment objectives and risk tolerance. Using this information as a reasonable basis, a core asset allocation is determined. Client portfolios are invested based on personalized allocations into models that are developed and managed by Mr. Browne and are generally constructed of Mutual Funds, Exchange Traded Funds (ETF), individual stocks and at times covered calls.

These models are created and managed using input from multiple research providers along with Mr. Browne's decades of experience as a financial adviser, portfolio manager and investment strategist. Additionally, clients may place reasonable restrictions and investment guidelines on transactions in certain types of legacy security positions which they wish to maintain and hold alongside their

portfolio investments. Where possible, trades in models are executed and traded in blocks to achieve average pricing for best execution.



## Martin H. Kreisler

Alexis Investment Partners, LLC  
4016 Tradewinds Drive  
Oxnard, CA 93035  
Phone: (661) 670-7265

March 28, 2024

The Brochure Supplement provides information about Martin H. Kreisler that supplements the Alexis Investment Partners' Brochure. You should have received a copy of the Brochure. Please contact the Chief Compliance Officer, if you did not receive Alexis Investment Partners' Brochure or if you have any questions about the contents of this supplement. Additional information about Martin H. Kreisler (CRD# 2765309) is available on the SEC's website at [www.adviserinfo.gov](http://www.adviserinfo.gov).

## **ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE**

Martin Kreisler

Born: 1944

Post-Secondary Education:

- California State University Long Beach, Bachelor of Science Degree, 1966
- University of Southern California, Master of Business Administration, 1971

Business Experience:

- Alexis Investment Partners – Investment Advisor Representative, 05/2021- Present
- Sowell Management – IAR, 11/2019 – 06/2021
- FundX Investment Group - IAR, 11/2014 – 11/2019
- Kreisler Long-Term Investments - Chief Compliance Officer and Principal, 05/1998 – 12/2014

## **ITEM 3 - DISCIPLINARY INFORMATION**

Martin Kreisler has no history of any legal or disciplinary events that deems to be material to a client's consideration of Mr. Kreisler to act as their investment adviser representative. FINRA's BrokerCheck® may have additional information regarding the disciplinary history of Martin Kreisler that is not included in this brochure supplement.  
<http://brokercheck.finra.org/Support/TermsAndConditions.aspx>

## **ITEM 4 - OTHER BUSINESS ACTIVITIES**

Mr. Kreisler's consultant services are provided through Alexis Investment Partners, LLC. Mr. Kreisler is a Docent at the Ronald Reagan Presidential Library.

## **ITEM 5 - ADDITIONAL COMPENSATION**

Martin Kreisler receives no additional compensation beyond the scope of his employment with Alexis Investment Partners, LLC.

## **ITEM 6 - SUPERVISION**

Martin Kreisler is supervised through a compliance program designed to prevent and detect violations of the federal and state securities laws. Supervision is conducted by the Chief Compliance Officer (CCO), Janet Messer, who is responsible for administering the firm's policies and procedures. The CCO reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation and ensures that all policies and procedures of the firm are followed. The CCO may be reached at (720)210-9471.

## **PORTFOLIO CONSTRUCTION**

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# Customer Relationship Summary

03/28/24

## Item 1 Introduction:

Alexis Investment Partners, LLC (AIP) is registered with the Securities and Exchange Commission (SEC) as an investment adviser. Brokerage and investment advisory services and fees differ and it is important for you to understand these differences. Free and simple tools are available to research firms and financial professionals at [Investor.gov/CRS](https://www.investor.gov/crs), which also provides educational materials about broker-dealers, investment advisers, and investing.

## Item 2 Relationships and Services: *What investment services and advice can you provide me?*

We offer investment advisory and financial planning services to retail investors.

*Investment Authority:* All accounts give AIP discretionary authority.

*Monitoring:* AIP Management monitors client portfolios on a continuous and ongoing basis. Such reviews are conducted by AIP's investment personnel and/or investment adviser representatives. The frequency of reviews will depend upon the complexity of the accounts, the nature of the advisory recommendations, changes in tax or market conditions, as well as other conditions and material changes to the client's situation. For additional information, please see AIP's Form ADV, Part 2A Brochure (Items 4 and 7).

*Limited Investment Offerings:* AIP does not use limited investment offerings.

*Account Minimums and Other Requirements:* AIP has an account minimum of \$500,000. We may accept clients with smaller portfolios based upon certain factors including anticipated future earning capacity, anticipated future additional assets, account composition, related accounts, and pre-existing client relationships. We may consider the portfolios of your family members to determine if your portfolio meets the minimum size requirement. Minimum account size may be waived by AIP solely at its discretion.

## Conversation Starter

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

## Item 3 Fees, Costs, and Standards of Conduct: *What fees will I pay?*

*Principal Fees and Costs:* AIP offers investment management services for an annual fee based on the amount of assets under the firm's management.

Assets under Management	Annual Management Fee
\$0 to \$1,000,000	0.85%
\$1,000,001 to \$3,000,000	0.75%
\$3,000,001 to \$5,000,000	0.65%
>\$5 million	0.50%

AIP's management fees for qualified plans are individually negotiated per plan. A minimum annual fee of \$1200 is charged per plan. Our management fee is negotiable, at the sole discretion of AIP, taking into account the specific needs of each client. Client fees are payable monthly, in advance, based on assets under management. Minimum fees may apply. Financial planning services may be included as a component of a personal wealth management relationship. Financial planning may also be provided for a pre-negotiated fixed fee.

*Other Fees and Costs:* In addition to the advisory fees paid to AIP Management, clients may also incur certain charges imposed by other third parties, such as broker-dealers, custodians, trust companies, banks, and other financial institutions. These additional charges may include securities brokerage commissions, transaction fees, custodial fees, fees charged by the Independent Managers, margin costs, charges imposed directly by a mutual fund or ETF in a client's account as disclosed in the



fund's prospectus (e.g., fund management fees and other fund expenses), deferred sales charges, odd-lot differentials, transfer taxes, wire transfer and electronic fund fees, and other fees and taxes on brokerage accounts and securities transactions. AIP charges an **asset-based fee**; the more assets there are in a retail investor's account, the more that retail investor will pay in fees, and the firm will therefore have an incentive to encourage the retail investor to increase the assets in his or her account.

**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 refer to AIP's Form ADV, Part 2A brochure Items 4, 5, and 7.**

### *Conversation Starter*

*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 acting as my investment adviser? How else does your firm make money and what conflicts of interest do you have?*

When we act as your investment adviser, 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 investment advice we provide you. Here are some examples to help you understand what this means: When we recommend an advisory account, a rollover of a retirement plan account, refer a client to a third-party asset manager, or provide additional services for compensation, the compensation associated with these recommendations creates an incentive to make these recommendations based upon the amount of compensation we receive, rather than based upon your needs. AIP acts as adviser to the Alexis Practical Tactical ETF (LEXI) and receives compensation for the management. In order to manage this potential conflict of interest, no separate management fee is charged by AIP on the portion of a client's account that is invested in the Alexis Practical Tactical ETF for which AIP serves as the adviser.

### *Conversation Starter*

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

*How do your financial professionals make money?*

AIP's financial professionals are compensated by cash compensation from the advisory and financial planning fees that we charge you. Our fee for services may vary depending on such factors as the amount of your assets we manage and the time and complexity required to meet your needs. Clients are advised that a conflict of interest exists when our financial professionals recommend our services to you, in that we will earn a fee from the services provided to you and the financial professional will be directly compensated from those fees.

**Item 4 Disciplinary History:** *Do you or your financial Professionals have legal or Disciplinary history?*

No, AIP does not have any legal, financial, or disciplinary items to report.

**Search Tool:** Please visit [investor.gov/CRS](http://investor.gov/CRS) a free tool to research AIP and our financial professionals.

### *Conversation Starter*

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

### **Item 5 Additional Information:**

For additional information about our services, please refer to AIP's Form ADV, Part 2A brochure Item 4 and Item 7. If you would like additional, up-to-date information or a copy of this disclosure, you may contact your finance professional at (925) 457-5258.

### *Conversation Starter*

*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?*

## **Customer Relationship Summary**

### **Summary of Material Changes**

03/28/24

As of March 19, 2024 the following changes were made to the Relationship Summary:

- Item 2- Provided details regarding limited investment offerings and account minimum requirements.
- Item 3- Addition of Alexis Practical Tactical ETF (LEXI) compensation and conflict mitigation.

## Privacy Notice

Facts	WHAT DOES Alexis Investment Partners, LLC (“AIP”) DO WITH YOUR PERSONAL INFORMATION?		
Why?	Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do.		
What?	<p>The types of personal information we collect, and share depend on the product or service you have with us. This information can include:</p> <ul style="list-style-type: none"><li>• SocialSecurity numberand income</li><li>• Account balances and payment history</li><li>• Credit history and credit scores</li></ul>		
How?	All financial companies need to share customers’ personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers’ personal information; the reasons we choose to share; and whether you can limit this sharing.		
Reasons we can share your personal information		Do we share?	Can you limit this sharing?
For our everyday business purposes - such as to process your transactions, maintain your accounts(s), respond to court orders and legal investigations, or report to credit bureaus		Yes	No
For our marketing purposes - to offer our products and services to you		No	No
For joint marketing with other financial companies		No	Not Applicable
For our affiliates’ everyday business purposes – information about your transactions and experiences		No	Not Applicable
For our affiliates’ everyday business purposes – information about your creditworthiness		No	Not Applicable
For our affiliates to market to you		No	Not Applicable
For non-affiliates to market to you		No	Not Applicable

## Privacy Notice

<b>To limit our sharing</b>	<p>*Mail the form below.</p> <p><b>Please note:</b> If you are a new customer, we can begin sharing your information from the date you received this notice. When you are no longer our customer, we continue to share your information as described in this notice. However, you can contact us at any time to limit our sharing.</p>
<b>Questions?</b>	Call (925) 457-5258 or email <a href="mailto:jason@alexisinvests.com">jason@alexisinvests.com</a>
<b>Who we are</b>	
<b>Who is providing this notice?</b>	Alexis Investment Partners, LLC ("AIP")
<b>What we do</b>	
<b>How does AIP protect my personal information?</b>	To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards, secured files, and buildings.
<b>How does AIP collect my personal information?</b>	<p>We collect your personal information, for example, when you</p> <ul style="list-style-type: none"> <li>• Open an account</li> </ul>
<b>Why can't I limit all sharing?</b>	<p>Federal law gives you the right to limit only.</p> <ul style="list-style-type: none"> <li>• Sharing for affiliates' everyday business purposes—information about your creditworthiness</li> <li>• Affiliates from using your information to market to you.</li> <li>• Sharing for non-affiliates to market to you</li> </ul> <p>State laws and individual companies may give you additional rights to limit sharing.</p>
<b>What happens when I limit sharing for an account I hold jointly?</b>	Your choices will apply to everyone on your account—unless you tell us otherwise.
<b>Definitions</b>	
<b>Affiliates</b>	Companies related by common ownership or control. They can be financial and nonfinancial companies.
<b>Non-affiliates</b>	Companies not related by common ownership or control. They can be financial and nonfinancial companies.
<b>Joint marketing</b>	A formal agreement between nonaffiliated financial companies that together market financial products or services to you.
<b>Other important information</b>	

<b>Mail-in this section</b>		
<p>If you have a joint account, your choice(s) will apply to everyone on your account unless you mark below.</p> <p><input type="checkbox"/> Apply only to me</p>	<p>Mark any you want to limit:</p> <p><input type="checkbox"/> Do not share information about my creditworthiness with your affiliates for their everyday business purposes.</p> <p><input type="checkbox"/> Do not allow your affiliates to use my personal information to market to me.</p>	
	Name	
	Address	
	City, State, Zip	
	Phone Number	
<p>Mail to: Alexis Investment Partners, LLC 103 Casterly Green Ct Montgomery, TX 77316</p>		