

ALPHA SOLUTIONS INVESTMENT ADVISORS, LLC

REGISTERED INVESTMENT ADVISORS

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ADV II

FIRM BROCHURE

ITEM 1 – Cover Page

This brochure provides information about the qualifications and business practices of Alpha Solutions Investment Advisors (hereinafter “Alpha Solutions” or “Alpha” or “firm” or “we” or “our”). If you have any questions about the contents of this brochure, please contact us at 415-882-7088 or to anthony@asiadvisors.com. Additional information about Alpha Solutions Investment Advisors is also available on the SEC’s website at www.adviserinfo.sec.gov. You can search this site by a unique identifying number, known as a CRD number. The CRD number for Alpha Solutions Investment Advisors is 156541. SEC number is 801-124857

The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission (“SEC”) or by any state securities authority. Registration as a “Registered Investment Advisor” does not imply a certain level of skill or training.

Brochure Rule: Initial Delivery – Rule 204-3(b), as amended, requires an adviser to deliver a current brochure before or at the time it enters into an advisory contract with the client. The rule does not require advisors to deliver brochures to certain advisory clients receiving only impersonal investment advice or to clients that are investment companies registered under the Investment Company Act of 1940 (“Company Act”). Annual Delivery – Advisors must annually provide to each client to whom they must deliver a brochure either (a) a copy of the current (updated) brochure that includes or is accompanied by the summary of material changes; or (b) a summary of material changes that includes an offer to provide a copy of the current brochure. As proposed each adviser must make this annual delivery no later than 120 days after the end of its fiscal year. Advisors may deliver a brochure and summary of material changes or summary of material changes, along with an offer to provide the brochure to clients electronically in accordance with the Commission’s guidelines regarding electronic delivery of information.

ITEM 2 – Material Changes

This Section will be updated with a summary of material changes since the previous release of the Firm Brochure.

ADV Part 2A (Firm Brochure) – There have been no material changes made to this Form since the previous release.

ADV Part 2A (Appendix 1, Wrap Fee Program Brochure) – We do not offer or sponsor Wrap Fee Programs. There have been no material changes made to this Form since the previous release.

ADV Part 2B (Brochure Supplement) – There have been no material changes made to this Form since the previous release.

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ITEM 4 – Advisory Business

A. General Description of Advisory Firm. Alpha Solutions Investment Advisors, LLC (“Alpha”) is a California limited liability company founded in 2010. The principal owners are Anthony T. Sam and John Lui. Alpha is licensed as a Registered Investment Advisor (“RIA”) with the Securities and Exchange Commission (“SEC”).

As a Registered Investment Advisor, under Federal and State laws, we are a fiduciary and must make full disclosure to our clients of all material facts relating to our advisory relationship. Our duty as a fiduciary to our clients includes the following:

- We must act in what we reasonably believe to be in the client’s best interests, and in the event of a conflict of interest, we must place the client’s interest before our own.
- We must seek to avoid conflicts of interests with our clients, and at a minimum, make full disclosure of all material conflicts of interest between our clients that could affect the advisory relationship.
- Obligations to disclose to you all material conflicts between your interests and our interests – transparency.
- If we, or our affiliates receive additional compensation from you or a third-party as a result of our relationship with you, we must disclose that to you.
- We must obtain your informed consent before engaging in transaction with you for our own account or that of an affiliate or another client when we act in an advisory capacity.
- We must treat you and our other advisory clients fairly and equitably and cannot unfairly advantage one client to the disadvantage of another.
- The investment decisions or recommendations we make for you must be suitable and appropriate for you and consistent with your investment objectives and goals and any restrictions you have placed on us.

As a fiduciary, we must always seek to avoid conflicts of interest with our clients, and at a minimum, make full disclosure of conflicts of interest between us and our clients that could affect the advisory relationship. This obligation includes that we disclose all material conflicts of interests under CCR Section 260,238(k) regarding the firm, its principals, representatives or any of its employees, which could be reasonably expected to impair the rendering of unbiased and objective advice. Also, as a fiduciary, we will in each and every investment decision, have our clients’ best interest as the utmost priority and concern.

B. Description of Advisory Services. We provide continuous customized wealth management solutions on a discretionary basis tailored to the specific needs of each client. Our investment management services are provided to meet the investment goals, risk tolerances and other specified guidelines of our clients. We construct and manage portfolios containing a diversified allocation from all major asset classes which may include domestic and foreign stocks/equities, fixed income, exchange traded funds (“ETFs”), exchange traded real estate investment trusts (“REITs”), Master Limited Partnerships (“MLPs”) and preferred stock. We typically do not include mutual funds in a client’s portfolio unless the client already owns them. We also provide investment advice on cash management, currency hedging, asset allocation, and alternative asset classes such as real estate and private equity.

When meeting with a new client, we take great care in learning of their financial objectives, risk tolerances and investment goals, guidelines and restrictions in order to develop a thorough understanding of the client’s financial landscape and needs. Throughout the relationship we continue to monitor the requirements of the client and modify or reconfigure our investment management decisions accordingly. We manage client portfolios on a discretionary basis, this means our clients grant a limited power of attorney to us to supervise and manage the account, place buy/sell trades within accounts. Our discretionary authority is limited to only the buying/selling of assets within the specified portfolio. Clients may place reasonable restrictions on our investment discretion, (for example, some clients have asked not to sell certain securities where the client has a particularly low tax basis, others have requested to not purchase securities of companies that produce tobacco products.) As of March 28, 2024 our discretionary assets under management totaled \$172,357,185.23. In addition to our personalized asset management solutions, we also provide in-depth and comprehensive financial planning services on a limited basis. The firm may or may not charge additional fees for financial planning, which may also include retirement planning and estate planning.

ITEM 5 – Fees and Compensation

Alpha Solutions is a fee-only registered investment advisor. As a fee-only advisor we do NOT receive commissions or compensation of any nature from the purchase or sale of securities for our clients, thereby avoiding a potential conflict of interests with our clients. Alpha Solutions’ fees are agreed upon in writing and in advance. Fees are negotiable and

can vary based upon factors such as the overall complexity of a client’s financial affairs, the types of investments, the number of investing entities, and the extent to which other financial or consulting services are incorporated.

We calculate asset-based fees due based on the market value of the account(s) at the close of, or during, the prior quarter (market values are provided by the custodian or Broker-dealer). In the case of assets that are not priced daily, we will use the most recent prices or valuations provided by the custodian or Broker-dealer. Market values include accrued interest and dividends and other income.

Our fees are billed and payable in arrears, at the end of each calendar quarter clients will receive an invoice for management fees prorated from the appropriate annual rate, calculated as a percentage of total assets under management. Our clients can either elect to authorize quarterly fees be paid by automatic direct deduction from their account or they can pay for fees due upon receipt of an invoice. With either payment method selected, we will always send a quarterly statement that will indicate how our fees were calculated. We will NOT request payment of fees in advance. In accordance with CCS Section 260,238(j), it should be noted that similar advisors services may (or may not) be available from other registered (or unregistered) investment advisors or other sources for similar or lower fees.

ADVISORY FEE SCHEDULE (annual rate, based on market value of assets under management):

<u>Assets Under Management</u>		<u>Annualized Fee</u>
First	\$2 million (ie., amount up to \$2 million)	1.25%
Next	\$3 million (ie., amount over \$2 million up to \$5 million)	1.00%
Next	\$5 million (ie., amount over \$5 million up to \$10 million)	0.75%
Next	\$10 million (ie., amount over \$10 million up to \$20 million)	0.60%
	Amount above \$20 million	0.50%

Note: The fee percentages are applied according to each asset level increment. For example, an account of \$10,000,000 would pay an annualized fee of 1.25% on the first \$2 million, plus 1% on the next \$3 million, plus 0.75% on the remaining \$5 million, for an annual total Fee of \$92,500.

A minimum annual fee of \$5,000 will be imposed on each account. The minimum fee may be waived or reduced at our discretion. We also reserve the right to adjust the fees for accounts depending on the size and type of account and the services to be rendered. In some cases, negotiation of fees may result in different fees being charged for similar services and may be less than the stated fee schedule.

The Fees for our services as described above are completely separate and unrelated from “other costs” that a client may incur through: brokerage/transaction commissions, custodian account fees, fees related to foreign ADR stocks, taxes related to foreign stocks, ETF expenses and or mutual fund sales charges or expenses in connection with our advisory services. We do not charge, collect nor benefit from these “other costs”. We encourage our clients to obtain a complete schedule of fees from their custodian/brokerage firm. Alpha Solutions Investment Advisors is not affiliated with any specific custodian, broker/dealer or agent.

Our investment management services will commence on the date the client signs the Investment Management Agreement (“IMA”). Fees will be calculated on a prorated basis, using the actual number of days in the calendar quarter that the IMA becomes effective. This IMA may be terminated by either Alpha Solutions Investment Advisors or the client at any time – the party requesting termination must provide the other party written notice. If an IMA is terminated before the end of a quarter or a billing period, the client will be responsible for any unpaid services calculated on a pro rata basis upon the number of days in the billing period up to the termination of the IMA.

CONSULTING FEES SCHEDULE

Alpha’s Consulting Fee usually are provided only upon request when services are needed outside the scope of our standard wealth management service and will be determined on the nature of the services being provided and the complexity of each client’s circumstances. All fees are agreed upon prior to entering into a Consulting Services Agreement with any client. The fee for such services is charged on an hourly basis at a rate of \$500 per hour. Clients will be notified before work is performed and fee is assessed. Generally, Consulting Fees are due and payable upon completion of the services. There is no minimum fee for Consulting Services.

ITEM 6 – Performance-Based Fees and Side-By-Side Management

We do not charge performance-based fees nor do we supervise any persons that manage accounts that charge performance-based fees. It is in our view that there exists a conflict of interest in performance-based fees as the incentive to favor or take additional risk on these accounts would create a possible conflict.

ITEM 7 – Types of Clients

We provide services to the following types of clients:

- Individuals
- Families
- Trusts
- Pensions
- Businesses/Companies
- Foundations
- Non-Profit Organizations
- Retirement plans
- Home Owner Associations

Our minimum assets under management (AUM) requirements for opening and maintaining an account are \$500,000.00. We may at our discretion, waive or modify the minimum AUM requirements.

ITEM 8 – Methods of Analysis, Investment Strategies and Risk of Loss

Alpha Solutions Investment Advisors uses both fundamental and technical analysis to determine when to buy and sell securities for our clients.

Fundamental analysis is the process of determining the intrinsic value of a security using many factors using a company's financial statements - such as sales growth, profit margin trends, cash flow generation, asset/liability ratios to see if the figures currently are reflected in the valuation of the security that we want to buy or sell. For example: we may buy a security if we determine that the fundamental trends which we analyze as being favorable have not yet been reflected in the current stock price. Conversely, we may sell a security if we feel that the fundamentals have been overly valued in the current price. It should be stressed that the accurate and timely analysis of fundamental factors alone will not guarantee the appreciation of a security, nor would it avoid the risk of principal loss. Fundamental analysis does not attempt to anticipate general market movements. This presents a potential risk, as the price of a security can move up or down along with the overall market regardless of the economic and financial factors considered in evaluating a security

Technical analysis involves the analysis of past market movements and the application of that analysis to the present in an attempt to recognize recurring patterns of investor behavior and to predict future price movement. Charting and cyclical analysis are types of technical analysis that we use. Charting involves the review of charts of market and security activity in an attempt to identify when the market is moving up or down and to predict how long the trend may last and when that trend might reverse. Cyclical analysis involves measuring the movements of a particular security relative to the overall market in an attempt to predict the price movement of the security. Technical analysis does not consider the underlying financial conditions of a security. This presents a risk in that a poorly-managed or financially unsound investment may underperform regardless of market movement.

Using both fundamental and technical analysis, we develop many investment ideas internally through our Investment Committee. The Committee analyzes and discusses economic conditions, demographic and macro trends, global market conditions, and specific investment ideas and opportunities in all asset sectors. These discussions lead the Committee to develop target asset allocation guidelines for all asset sectors and to strategically alter them over the course of market and business cycles.

Risk of Loss - There are inherent risks to investing in securities, including but not limited to:

Management Risks: Alpha applies its investment techniques and risk analyses in making investment decisions or recommendations for its clients, but there can be no guarantee that they will produce the desired results. In addition,

there is no guarantee that a strategy based on historical information will produce the desired results in the future and, if market dynamics change, the effectiveness of the strategy may be limited. Each strategy runs the risk that investment techniques will fail to produce the desired results. There also can be no assurance that all of the key personnel will continue to be associated with the firm for any length of time.

Investment Risks: Investments in securities, including ETFs and mutual funds and the securities that they in turn invest in involve various risks, including those summarized below. In addition, each ETF and mutual fund has its own investment style, which may involve risks different from those described below. Clients and prospective clients should be aware that investing in securities involves risk of loss that clients should be prepared to bear.

Mutual Fund and/or ETF analysis: In cases where a client already owns a mutual fund or ETF, we look at the experience and track record of the manager of the mutual fund or ETF in an attempt to determine if that manager has demonstrated an ability to invest over a period of time and in different economic conditions. We also look at the underlying assets in a mutual fund or ETF in an attempt to determine if there is significant overlap in the underlying investments held in other fund(s) in the client's portfolio. We also monitor the funds or ETFs in an attempt to determine if they are continuing to follow their stated investment strategy.

A risk of mutual fund and/or ETF analysis is that, as in all securities investments, past performance does not guarantee future results. A manager who has been successful may not be able to replicate that success in the future. In addition, as we do not control the underlying investments in a fund or ETF, managers of different funds held by the client may purchase the same security, increasing the risk to the client if that security were to fall in value. There is also a risk that a manager may deviate from the stated investment mandate or strategy of the fund or ETF, which could make the holding(s) less suitable for the client's portfolio.

ETF General Risks: ETFs in which the strategies may invest involve certain inherent risks generally associated with investments in a portfolio of underlying securities, including the risk that the general level of the underlying security prices may decline, thereby adversely affecting the value of each unit of the ETF. Moreover, an ETF may not fully replicate the performance of its benchmark index because of the temporary unavailability of certain securities in the secondary market or discrepancies between the ETF and the benchmark index with respect to the weighting of securities or the number of securities held. Investing in ETFs carries the risk of capital loss. ETFs are not guaranteed or insured by the FDIC or any other government agency. You can lose money investing in ETFs. ETFs in which the strategies invest have their own fees and expenses as set forth in the ETF prospectuses. These fees and expenses lower investment returns. Although ETFs themselves are generally classified as equities, the underlying holdings of ETFs can include a variety of asset classes, including but not limited to equities, bonds, foreign currencies, physical commodities, and derivatives. A full disclosure of the specific risks of ETFs is located in the respective prospectus of each fund. ETFs may have exposure to derivative instruments, such as futures contracts, forward contracts, options, and swaps. There is a risk that a derivative may not perform as expected. The main risk with derivatives is that some types can amplify a gain or loss, potentially earning or losing substantially more money than the actual cost of the derivative; or that the counterparty may fail to honor its contract terms, causing a loss for the ETF. Use of these instruments may also involve certain costs and risks such as liquidity risk, interest rate risk, market risk, credit risk, management risk, and the risk that an ETF could not close out a position when it would be most advantageous to do so.

Mutual Fund Risks: Mutual fund managers may base investment decisions for funds on historical information. There is no guarantee that a strategy based on historical information will produce the desired results in the future. In addition, if market dynamics change, the effectiveness of that kind of strategy may be limited. Either of these risks may cause the investment strategy of a particular fund to underperform its benchmark or similar funds. Mutual funds in which the strategies invest have their own fees and expenses as set forth in the fund prospectuses. These fees and expenses lower investment returns. Mutual funds may have exposure to derivative instruments, such as futures contracts, forward contracts, options, and swaps. There is a risk that a derivative may not perform as expected. The main risk of derivatives is that some types of derivatives can amplify a gain or loss, potentially earning or losing substantially more money than the actual cost of the derivative, or that the counterparty may fail to honor its contract terms, causing a loss for the fund. Use of these instruments may also involve certain costs and risks such as liquidity risk, interest rate risk, market risk, credit risk, management risk, and the risk that a fund could not close out a position when it would be most advantageous to do so. The value of mutual funds can be impacted by the movement of large positions in and out of a particular fund. Alpha does not normally recommend/purchase mutual funds for our clients.

Market/Systemic Risks: Equity, fixed income, and other global capital markets rise and fall daily. The performance of client investments is, to varying degrees, tied to these markets. When markets fall, the value of a client's investments will fluctuate, which means a client could lose money.

Asset Allocation/Strategy/Diversification Risks: Asset allocation decisions may result in more portfolio concentration in a certain asset class or classes, which could reduce overall return if the concentrated assets underperform expectations. The more aggressive the strategy selected, the more likely the portfolio will contain larger weights in riskier asset classes, such as equities. The asset classes in which the strategies seek investment exposure can perform differently from each other at any given time (as well as over the long term), so the strategy will be affected by its allocation among the various asset classes. Depending on market conditions there may be times where diversified strategies perform worse than less diversified strategies.

Geographic Concentration Risk: Portfolios concentrated in any one geographic region can be more susceptible to that region's political and economic risk. For example, a portfolio that is concentrated in the United States will be more susceptible to the United States' political and economic risk, as compared to a more globally diversified portfolio.

Trading/Liquidity Risks A particular investment may be difficult to purchase or sell or may become difficult to sell after being purchased for a client account. Alpha may be unable to sell securities on behalf of a client at an advantageous time and/or price due to then-existing trading market conditions.

Large Investment Risks Clients may collectively account for a large portion of the assets in certain ETFs or mutual funds. A decision by Alpha to buy or sell some or all of a particular ETF or mutual fund where clients hold a significant portion of such may negatively impact the value of that security.

Counterparty Risks: There may be a risk of an executing broker failing to deliver securities, Alpha will attempt to mitigate trading counterparty risk through reviewing the broker's track record. To the degree client accounts hold an ETN, there is exposure to the credit risk of the issuer. ETFs may have some "product" or "structural" risk associated with underlying derivatives, as they will sometimes provide market exposure through indirect means, like futures, options, and forward contracts.

Custodian Risks: Schwab is a member of the Securities Investor Protection Corporation ("SIPC"). SIPC offers protection of up to \$500,000, including a \$250,000 limit for cash, if a SIPC member brokerage firm fails. SIPC covers most securities such as stocks, bonds, ETFs, and mutual funds, but does not protect against market loss.

Tax Risks: Clients should consult a professional tax advisor for help with their unique situations.

Underlying Securities Risk

Equity-Related Risks - General Risks: The prices of equity securities, including the value of ETFs or mutual funds that invest in them, will rise and fall. These price movements may result from factors affecting individual companies, industries, or the securities market as a whole. Individual companies may report poor results or be negatively affected by industry and/or economic trends and developments. The prices of securities issued by such companies may suffer a decline in response. In addition, the equity market tends to move in cycles, which may cause stock prices to fall over short or extended periods of time.

Large- and Mid-Cap Risks: Large- and/or mid-cap U.S. stocks, along with mutual funds and ETFs that focus on large- and/or mid-cap segments of the U.S. stock market bear the risk that they tend to go in and out of favor based on market and economic conditions. However, stocks of mid-cap companies tend to be more volatile than those of large-cap companies because mid-cap companies tend to be more susceptible to adverse business or economic events than larger, more established companies. During a period when the large- and mid-cap segment of U.S. stocks falls behind other types of investments—bonds or small-cap stocks, for instance—the performance of the portion of the investment strategies invested in large- and/or mid-cap stocks may lag the performance of these other investments.

Small-Cap and International Risks: Historically, small-cap and international stocks have been riskier than large- and mid-cap U.S. stocks (also see "Foreign Investment-Related Risks" section below for additional information). During a period when small-cap and/or international stocks fall behind other types of investments - large- and mid-cap U.S. stocks, for instance - the performance of the portion of the investment strategies invested in small-cap or international stocks may lag the performance of these other investments.

Fixed Income–Related Risks - General Risks: Bond markets rise and fall daily, and fixed income investments, which generally also include instruments with variable or floating rates (including cash and cash-like investments), are subject to various risks. As with any investment whose performance is tied to bond markets, the value of a fixed income investment, ETF, or mutual fund will fluctuate, which means that the client could lose money.

Interest Rate Risks: When interest rates rise, bond prices usually fall, and with them the value of an ETF or mutual fund holding the bonds. A decline in interest rates generally causes bond prices to rise, and with them potentially the value of a bond fund or ETF, but could also hurt the performance of an ETF or mutual fund by lowering its yield (which could increase reinvestment risk). The longer the duration of the investments held by an ETF or mutual fund, the more sensitive to interest rate movements its value is likely to be.

Credit Risks: A decline in the credit quality of a fixed income investment could cause the value of a fixed income security, ETF, or mutual fund to fall. The security, ETF, or mutual fund could lose value if the issuer or guarantor of an investment fails to make timely principal or interest payments or otherwise honor its obligations. The emphasis of a fixed income strategy on quality and preservation of capital also could cause a security, ETF, or mutual fund to underperform certain other types of bond investments, particularly those that take greater maturity and credit risks.

High Yield Risks: Investments in ETFs or mutual funds that hold high yield securities and unrated securities of similar credit quality (sometimes called junk bonds) are subject to greater levels of credit and liquidity risks. High yield securities and the ETFs or mutual funds that invest in them may be considered speculative.

Government Securities Risks: Many U.S. government securities are not backed by the full faith and credit of the United States government, which means they are neither issued nor guaranteed by the U.S. Treasury. Certain issuers of securities, such as the Federal Home Loan Banks (“FHLB”), maintain limited lines of credit with the U.S. Treasury. Securities issued by other issuers, such as the Federal Farm Credit Banks Funding Corporation (“FFCB”), are supported solely by the credit of the issuer. There can be no assurance that the U.S. government will provide financial support to securities of its agencies and instrumentalities if it is not obligated to do so under law.

Bank Loans: Investments in ETFs or mutual funds that hold bank loans are typically below investment grade credit quality and may be subject to more credit risk, including the risk of nonpayment of principal or interest. Most bank loans are floating rate, whose interest rates are tied to LIBOR or another short-term reference rate, so substantial increases in interest rates may make it more difficult for issuers to service their debt and cause an increase in loan defaults. Bank loans are typically secured by collateral posted by the issuer, or guarantees of its affiliates, the value of which may decline and be insufficient to cover repayment of the loan. Many loans are relatively illiquid or are subject to restrictions on resale and may be difficult to value, which could have an adverse impact on the ability of the ETF or mutual fund to respond to changing market dynamics. Loans are also subject to maturity extension risk and prepayment risk.

State and Regional Risks: To the extent that a security, ETF, or mutual fund invests in securities from a given state or geographic region, its value and performance could be affected by local, state, and regional factors, including erosion of the tax base and changes in the economic climate. National governmental actions, such as the elimination of tax-exempt status, also could affect performance. In addition, an ETF or mutual fund may be more sensitive to adverse economic, business, or political developments if a substantial portion of it is invested in municipal securities that are financing similar projects.

Foreign Risks: Investments in ETFs or mutual funds that hold securities of foreign issuers or securities with credit or liquidity enhancements provided by foreign entities may involve certain risks such as adverse changes in foreign economic, political, regulatory, and other conditions; differing accounting, auditing, financial reporting, and legal standards and practices; differing securities market structures; and higher transaction costs. In addition, sovereign risk, or the risk that a government may become unwilling or unable to meet its loan obligations or guarantees, could increase the credit risk of financial institutions connected to that particular country.

Foreign Investment–Related Risks - General Risks: Investments in securities of foreign issuers or ETFs or mutual funds that hold securities of foreign issuers may involve certain risks that are greater than those associated with investments in securities of U.S. issuers. These include risks of adverse changes in foreign economic, political, regulatory, and other conditions; changes in currency exchange rates or exchange control regulations (including limitations on currency

movements and exchanges); differing accounting, auditing, financial reporting, foreign taxes, and legal standards and practices; differing securities market structures; differing trading and settlement practices; ownership restrictions; and higher transaction costs.

Emerging Markets Risks: These and other risks (e.g., nationalization, expropriation, or other confiscation of assets of foreign issuers) are greater for those securities, ETFs, or mutual funds investing in companies tied economically to emerging countries, the economies of which tend to be more volatile than the economies of developed countries.

Frontier Markets Risks: The risks associated with investing in securities, ETFs, or mutual funds that hold foreign or emerging markets generally are magnified in frontier markets, also known as “next emerging” markets. Some frontier markets may operate in politically unstable regions of the world and may be subject to additional geopolitical/disruption of markets risks.

Geopolitical/Disruption of Markets Risks: Geopolitical events may adversely affect global economies and markets and thereby decrease the value of and/or the ease of trading those securities, ETFs, or mutual funds invested in those affected markets. Those events as well as other changes in foreign and domestic economic and political conditions could adversely affect the value of the strategy’s investments.

Currency Risks: Fluctuations in exchange rates may adversely affect the value of ETFs or mutual funds that hold foreign currency holdings and investments denominated in foreign currencies.

Risks Related to Other Asset Classes

Commodities Risks: Commodities involve unique risks that may be distinct from those that affect stocks and bonds, including but not limited to worldwide supply and demand factors, weather conditions, currency movements, and international government policies regarding commodity reserves and choice of currency for commodity pricing. Commodities investments may also involve unique risks inherent to investing in derivatives which may include basis, roll, liquidity, and regulatory risks. A detailed explanation of the risks is available in the prospectus of the respective commodity fund. Commodity pools may be subject to different regulatory requirements than traditional funds governed by the Investment Company Act of 1940.

Hard Assets Risks: The production and distribution of hard assets, such as precious metals, oil and gas, real estate, and/or agricultural commodities may be affected by geopolitical and environmental factors and are cyclical in nature. During periods of economic or financial instability, hard asset securities and other instruments may be subject to broad price fluctuations, reflecting volatility of energy and basic materials prices and possible instability of supply of various hard assets. Hard asset securities, hard asset companies, and other instruments may also experience greater price fluctuations than the relevant hard asset. Therefore, the return on hard asset securities may deviate from that of the hard asset itself.

Real Estate Risks: Real estate–related investments (and the ETFs or mutual funds that hold them) may be adversely affected by factors affecting the real estate industry, which may include changes in interest rates and social and economic trends. Real Estate Investment Trusts (“REITs”) may also be subject to the risk of fluctuations in income from underlying real estate assets, poor performance by the REIT’s manager, prepayments and defaults by borrowers, adverse changes in tax laws, and, with respect to U.S. REITs, their failure to qualify for the special tax treatment granted to REITs under the Internal Revenue Code of 1986 and/or to maintain exempt status under the Investment Company Act of 1940.

Risks for all forms of analysis: Our securities analysis methods rely on the assumption that the companies whose securities we purchase and sell, the rating agencies that review these securities, and other publicly-available sources of information about these securities, are providing accurate and unbiased data. While we are alert to indications that data may be incorrect, there is always a risk that our analysis may be compromised by inaccurate or misleading information.

Other risks may include inflation, in which the appreciation in the security does not keep pace with the general cost of living, or opportunity risk in which appreciation in other securities exceed that of the investment one chooses.

Limitations of Disclosure: The foregoing list of risks does not purport to be a complete enumeration or explanation of the risks involved in Alpha's Strategies. As the strategies develop and change over time, clients and investors may be subject to additional and different risk factors. No assurance can be made that profits will be achieved or that substantial losses will not be incurred.

INVESTMENT STRATEGIES

We use the following strategies in managing client accounts, provided that such strategies are appropriate to the needs of the client and consistent with the client's investment objectives, risk tolerance, and time horizons, among other considerations:

Long-term purchases: We purchase securities with the idea of holding them in the client's account for a year or longer. Typically we employ this strategy when:

- we believe the securities to be currently undervalued, and/or
- we want exposure to a particular asset class over time, regardless of the current projection for this class.

A risk in a long-term purchase strategy is that by holding the security for this length of time, we may not take advantage of short-term gains that could be profitable to a client. Moreover, if our predictions are incorrect, a security may decline sharply in value before we make the decision to sell.

Short-term purchases: Alpha may for specific clients and on certain occasions employ the use of short-term trading strategies. When utilizing this strategy, we purchase securities with the idea of selling them within a relatively short time (typically a year or less). We do this in an attempt to take advantage of conditions that we believe will soon result in a price swing in the securities we purchase. A short-term purchase strategy poses risks should the anticipated price swing not materialize; we are then left with the option of having a long-term investment in a security that was designed to be a short-term purchase, or potentially taking a loss. In addition, this strategy involves more frequent trading than does a longer-term strategy, and may result in increased brokerage and other transaction-related costs, as well as less favorable tax treatment of short-term capital gains.

Stop loss Orders: Alpha may at times employ the use of stop loss orders on certain stocks in a clients' portfolio in an effort to mitigate significant losses. These stop loss orders are placed on shares of companies the firm believes would lose value in difficult economic conditions. Stop loss orders are may not be placed on certain companies in the consumer staples, healthcare and utility sectors given that they have historically fared better in difficult economic climates. Though stop loss orders can be effective in a market falling at a normal pace, they can pose a risk if markets or individual stocks fell dramatically within a very short period of time. Once a stop loss order is executed a market order is sent to the exchange to sell the shares at the current market price. The actual sale price, in a fast moving market, may be less or more than the stop loss order price. Clients may direct Alpha not to employ the use of stop loss orders.

Selling Stock Short: Alpha rarely employs any strategies of selling stocks short.

Asset Allocation: In implementing our clients' investment strategy, we begin by attempting to identify an appropriate ratio of equities, fixed-income and cash (i.e. "asset allocation") suitable to the client's investment goals and risk tolerance. A risk of asset allocation is that the client may not participate in sharp increases in a particular security, industry or market sector. Another risk is that the ratio of securities, fixed income, and cash will change over time due to stock and market movements and, if not corrected, will no longer be appropriate for the client's goals.

Margin: We do not use margin transactions as an investment strategy. However, we may recommend, where appropriate, that a client establish a margin account with the client's broker. In this situation, if we are selling one stock and purchasing another stock with the proceeds, we can use the margin account to make certain that you are not left out of the purchase if we have difficulty completing the sale.

RISK OF LOSS

Securities investments are not guaranteed and you may lose money on your investments. All investors should be prepared to bear these risks. We ask that you work with us to help us understand your tolerance for risk.

ITEM 9 – Disciplinary Information

Registered investment advisors are required to disclose all material facts regarding any legal or disciplinary events that would be material in your evaluation of us. Alpha Solutions Investment Advisors, the firm and its principals' and employees have NO past or pending disciplinary or legal events to report.

ITEM 10 – Other Financial Industry Activities and Affiliations

Alpha Solutions Investment Advisors is not registered, nor do we have a pending application as a securities broker-dealer. We are also not registered and do not have an application pending as a futures commission merchant, commodity pool operator, or commodity trading advisor.

Alpha Solutions Investment Advisors may enter into agreements with specific financial industry firms to provide specialized sub-advisory services for select client accounts. Full and complete disclosures will be made to each and every client prior to the use of these sub-advisors if deemed appropriate and necessary by Alpha Solutions Investment Advisors. Alpha Solutions Investment Advisors will require each client to approve and authorize the use of any selected specific financial industry firm.

John Lui a principal in Alpha Solutions Investment Advisors is also an Investment Advisor Representative with Chatham Wealth Management in the state of New Jersey. Alpha Solutions Investment Advisors is not affiliated with, and will not engage in any business transactions with Chatham Wealth Management. Mr. Lui's other financial industry activities and affiliations with Chatham Wealth Management will not create a material conflict of interest. If any conflict of interest issues should arise in the future Alpha Solutions Investment Advisors would in every case protect, prioritize and act solely in our clients' best interest.

Anthony Sam a principal in Alpha Solutions Investment Advisors is also a director in Quantlux Technologies, LLC. Alpha Solutions Investment Advisors is not affiliated with, and will not engage in any business transactions with Quantlux Technologies. Mr. Sam's other financial industry activities and affiliations with Quantlux Technologies will not create a material conflict of interest. If any conflict of interest issues should arise in the future Alpha Solutions Investment Advisors would in every case protect, prioritize and act solely in the firm's clients' best interest.

ITEM 11 – Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

We are committed to the highest standards of moral and ethical conduct based on the fundamental principles of transparency, integrity, honesty and trust. The standards set forth within our Code of Conduct and Ethics ("CCE") are an essential ingredient not only for the success of Alpha Solutions Investment Advisors and its subsidiaries and affiliates, but also to maintain the trust and confidence of clients.

There is a long-standing recognition of the potential conflicts of interest that may arise in connection with the personal trading activities of investment personnel and their clients. Federal and state securities laws govern the conduct of individuals associated with investment advisers and registered investment companies. Such entities are required to adopt a Code of Ethics containing provisions designed to prevent improper personal trading by their personnel. The Alpha Solutions Investment Advisors - CCE applies to all partners, directors, officers, employees and any and all "Access Persons".

We permit our employees to engage in personal securities transactions, but to avoid any potential conflicts of interests involving personal trades, we have adopted specific rules within our CCE to address issues such as insider trading, front running, shadowing and selling away. We have a significant responsibility and an explicit fiduciary duty which requires our employees to act solely for the benefit of our clients. It is also in the best interest of Alpha Solutions Investment Advisors as a professional advisory organization to avoid potential conflicts of interest, or even the appearance of such conflicts. If there are any occasions when potential conflict exists – it must be clearly and promptly disclosed to the client, and if such conflict is serious in nature to the clients' best interest, Alpha Solutions Investment Advisors and its employees should abstain from further action. Our long-term business interests are best served by the strict and absolute adherence to the principle that "clients' interests come first".

Because of the nature of our business, employees may at times be exposed to information which constitutes “inside information” or material, non-public information. Federal securities law prohibits the use of such information for financial benefit. Our goal is to impose restrictions whenever possible consistent with protecting our clients and Alpha Solutions Investment Advisors from the damage that could result from a violation of the securities laws or from real or apparent conflicts of interest. While it is impossible to define all situations which might pose such a risk, our CCE is designed to address those circumstances where such risks are likely to arise. A copy of our Code of Conduct and Ethics is available at no charge upon request.

ITEM 12 – Brokerage Practices

As previously addressed, Alpha Solutions Investment Advisors has no affiliation with a securities broker/dealer. Our clients have full discretion in selecting a broker/dealer/custodian for their transactions and determining the reasonableness of the fees/commissions they may encounter. In certain circumstances, if we are asked by a client to recommend a broker/dealer/custodian – having best execution is the primary factor that we focus on in choosing a broker. “Soft Dollar Benefits” (research or other products or services from a broker/dealer) at times creates a conflict of interest with the interest of a client. We do not engage in any types of “soft dollar” activities for research, products or other services. Our firm is not affiliated or associated with any broker-dealer firm and do we do not receive any incentive/compensation or client referrals from any brokers we select.

Alpha typically uses the brokerage and platform services of Schwab Institutional, a division of Charles Schwab & Co., Inc. (“Schwab”) for its advisory accounts. Schwab is a FINRA-member broker-dealers and SIPC members. Schwab provides Alpha with access to their institutional trading and custody services. There is no direct link between our firm's use of these brokerage and platform services and the investment advice we give to our clients. However, we receive non-economic benefits through our participation in this platform that are typically not available to Schwab retail investors. These platform services are not contingent upon our firm committing to Schwab any specific amount of business (assets in custody or trading commissions). Schwab’s brokerage services include the execution of securities transactions, 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.

For our client accounts maintained in their custody, Schwab generally does not charge separately for custody services but are compensated by account holders through commissions and other transaction-related fees for securities trades that are executed through them or that settle into the accounts. Schwab also make available other products and services that benefit Alpha but may not directly benefit our clients’ accounts. Many of these products and services may be used to service all or some substantial number of our client accounts, including accounts not maintained at Schwab. These products and services that assist us in managing and administering our clients’ accounts include software and other technology that:

- provide access to client account data (such as trade confirmations and account statements);
- facilitate trade execution and allocate aggregated trade orders for multiple client accounts;
- provide research, pricing and other market data;
- facilitate payment of our fees from clients’ accounts; and
- assist with back-office functions, recordkeeping and client reporting.

Schwab also offers other services intended to help us manage and further develop our business enterprise. These services may include:

- compliance, legal and business consulting;
- publications and conferences on practice management and business succession; and

SUMMARY OF TRADE AGGREGATION POLICY

Alpha may (but is not obligated to) aggregate (i.e., block) trades where possible and when advantageous to clients. This blocking of trades permits the trading of aggregate blocks of securities composed of assets from multiple client accounts. Block trading may allow us to execute equity trades in a timelier, more equitable manner, at an average share price. Alpha may typically aggregate trades among clients whose accounts can be traded at a given broker. Alpha’s block trading policy and procedures are as follows:

1. Trades may be aggregated where it is more timely, efficient and equitable to those clients participating in a trade in the same security.

2. Transactions for any client account may not be aggregated for execution if the practice is prohibited by or inconsistent with the client's advisory agreement with Alpha, or our firm's order allocation policy.
3. The portfolio manager must determine that the purchase or sale of the particular security involved is appropriate for the client and consistent with the client's investment objectives and with any investment guidelines or restrictions applicable to the client's account.
4. The portfolio manager must reasonably believe that the order aggregation will enable Alpha to seek best execution for each client participating in the aggregated order. This requires a good faith judgment at the time the order is placed for the execution. It does not mean that the determination made in advance of the transaction must always prove to have been correct in the light of a "20-20 hindsight" perspective. Best execution includes the duty to seek the best quality of execution, as well as the best net price.
5. Aggregated (block) trades are sent as market orders (not limit orders) and are always filled regardless of price. However, adjustments to the allocations may be made due to tax consideration, to avoid having odd amounts of shares held in any client account.
6. Generally, each client that participates in the aggregated order must do so at the average price for all separate transactions made to fill the order. Each participating account has its own set commission costs based on their arrangement with their broker. Transaction costs may be charged as a fixed, per-trade fee or a fee based on the number of shares traded for each client (depending upon the individual client's agreement with the applicable custodian/broker).
7. In daily trading, a group of client trades are entered into a blotter, based on a position size determined by client assets and tactical weight. For example, a client with \$1M assets under management (AUM) who is 80% stock will have \$20,000 positions (based on 40 positions per portfolio). Once most or all of that day's trades are entered, the "like" trades (same position, same broker) are merged together and sent to each respective broker as a block trade in our master account. Once the trade fills, the pre-allocation file, created when the trades are merged, is audited to insure that no negative balances have been created. On the rare occasion that this occurs, the smallest number of shares required to cover the negative balance may be moved from the negative account(s) to a different client account where the small amount will not substantially affect the receiving client's asset allocation. Where possible, we attempt to move the shares into another account owned by the same client. Once this audit is complete, the allocation file is sent to the broker to allocate. Trading in this manner insures that all included clients receive the identical fill price per share. Fill price may vary among brokers.
8. In the rare event that Alpha buys or sells a security that lacks sufficient volume to efficiently sell a block of stock at the current market price, block orders will be executed in phases and possibly over days in an effort to obtain the best pricing. This can result in segments of clients getting different pricing for securities. We use several methods to achieve the goal of best pricing in a manner that does not favor one client over another which may include: 1) random selection of accounts; 2) client tactical weighting considerations (ie. group by client stock exposure requirements); 3) accounts taxable status; or 4) alphabetical order.
9. No client or account will be favored over another.

TRADE ERROR POLICY

Alpha requires that its personnel carefully implement investment management decisions. It is the Firm's policy to identify and correct trade errors as soon as possible without creating disadvantage to the client. When this occurs, the Firm may place a correcting trade with the broker-dealer which has custody of the account. To the extent that the trading error results in any gain, the profit shall remain in the client's account, and any losses resulting from the Firm's trade errors shall be promptly reimbursed to the client's account. Nevertheless, if a trade error occurs, it is Alpha's policy that the error be corrected as soon as possible and in such a manner that the affected client is not disadvantaged and bears no loss. Alpha's policy prohibits its staff from requesting a broker-dealer to accept financial responsibility for a trade error caused by Alpha's personnel in exchange for the promise of future compensation through commissions.

ITEM 13 – Review of Accounts

The Alpha Investment Committee meets regularly and discusses current news and market conditions that assists them in outlining potential risks and opportunities – all with our clients' long term needs as the focal point. While the underlying securities within client accounts are continually monitored, these accounts are reviewed on at least an annual basis. Each account is reviewed every 12 months to determine if the account is within the parameters of the Investment Policy Statement. Our client accounts are reviewed in the context of each client's stated investment

objectives and guidelines. More frequent reviews may be triggered by material changes in variables such as the client's individual circumstances, or the market, political or economic environment. Account reviews would typically be performed by Alpha Portfolio Managers and Relationship Managers that generally focus on the client's personal financial situation, liquidity needs, and comfort with risk level; a review of account restrictions; an overview of the client's current portfolio; and questions the client may have on their account and strategies. Anthony Sam the Chief Compliance Officer also conducts this review at least annually.

In addition to the monthly statements and confirmations of transactions that clients may receive or electronically download from their broker-dealer/custodian, we may upon request by the client, provide quarterly reports summarizing account performance, balances and holdings.

ITEM 14 – Client Referrals and Other Compensation

Alpha Solutions Investment Advisors does not pay any fees for client referrals. Alpha Solutions Investment Advisors may at certain times receive compensation under the following circumstances:

- a. Non-advisory fees associated with business and management consulting services.
- b. Solicitors/Introduction fees associated with the introduction of non-clients to select financial services firms.

ITEM 15 – Custody

Alpha will not take custody of client cash, bank accounts, or securities. A qualified unaffiliated custodian such as banks, brokerage firms, investment companies and mutual fund companies will be approved and chosen by the client to maintain their respective cash, bank accounts and securities. The client will receive account statements directly from their service provider, typically on a monthly or quarterly basis or as account transactions occur. It is the client's responsibility to carefully review these statements.

Alpha can access many client accounts through the firm's ability to debit quarterly advisory fees. For this reason Alpha is considered to have limited custody of client assets. As part of this billing process, the client's custodian is advised of the amount of the fee to be deducted from that client's account. On at least a quarterly basis, the custodian is required to send to the client a statement showing all transactions within the account during the reporting period. Because the custodian does not calculate the amount of the fee to be deducted, it is important for clients to carefully review their custodial statements to verify the accuracy of the calculation, among other things. Clients should compare those statements to any account information or quarterly reports provided by Alpha and contact us directly if they believe that there may be an error in their statements.

Alpha may also be considered to have custody of client assets on a limited basis, because we accept and process Standing Letters of Authorization from our clients which allows us to facilitate the transfer of funds to other accounts owned by the clients or to third parties identified and approved by our clients. At all times we intend to comply with the SEC's No-Action Letter Dated 02/21/2017 to avoid the surprise audit requirements of the SEC's Custody Rule.

We will not ask for, nor accept, any of our clients account access information, such as username and/or password. We will not act as a trustee for, nor have full power of attorney over a client account.

ITEM 16 – Investment Discretion

Clients retain our services to provide discretionary portfolio management services. Where we have been provided investment discretion, we place trades in a client's account without obtaining specific client permission prior to each trade. Our discretionary authority includes the ability to do the following at any times without contacting the client:

- Determine the types of securities to buy or sell; and/or
- Determine the amounts of the securities to buy or sell

Clients give us discretionary authority when they sign a discretionary advisory agreement and limited power of attorney with our firm, and may limit this authority by giving us written instructions. Clients may also change/amend/cancel such limitations by once again providing us with written instructions. Reasonable restrictions on our investment discretion can be imposed by the client through the Investment Policy Statement as long as the restrictions fit within our investment strategies.

ITEM 17 – Voting Client Securities

Alpha Solution Investment Advisors does not vote client securities. The client will directly receive their proxies and other solicitations directly from the custodian or transfer agent for their investments, and it is the client's responsibility to vote the proxies for any and or all securities in their portfolio. Our clients can contact us with questions about a particular solicitation - a reasonable amount of time to research and analyze the specific situation should be allocated prior to specific reply dates.

ITEM 18 – Financial Information

Under no circumstances do we require or solicit payment of fees in excess of \$500 per client more than six months in advance of services rendered. Therefore, we are not required to include a financial statement. As an advisory firm that maintains discretionary authority for client accounts, we are also required to disclose any financial condition that is reasonable likely to impair our ability to meet our contractual obligations. Alpha has no additional financial circumstances to report and has never been the subject of a bankruptcy petition. Due to the nature of the services that we provide to our clients, an audited balance sheet is not required, nor included in this disclosure document. Alpha Solutions Investment Advisors does not have any financial conditions that require further disclosure.

ITEM 19 – Requirements for State Registered Investment Advisors

Alpha Solutions Investment Advisors is registered with the Securities and Exchange Commission ("SEC"), therefore, this ITEM 19 is not applicable.

ITEM 20 – Additional Information

Alpha Solutions Investment Advisors, LLC

REGISTERED INVESTMENT ADVISORS

Form ADV Part 2A

(Appendix 1, Wrap Fee Program Brochure)

**Alpha Solutions Investment Advisors does not sponsor,
or participate in wrap fee programs**

This brochure provides information about the qualifications and business practices of Alpha Solutions Investment Advisors. If you have any questions about the contents of this brochure, please contact us at 415-882-7088 and/or email to anthony@asiadvisors.com. Additional information about Alpha Solutions Investment Advisors is also available on the SEC's website at www.adviserinfo.sec.gov.

Disclaimer: The information in this brochure has not been approved or verified by the Securities and Exchange Commission (SEC) or by any state securities authority. Registration as a "Registered Investment Advisor" does not imply a certain level of skill or training.

Brochure Rule: Initial Delivery – Rule 204-3(b), as amended, requires an adviser to deliver a current brochure before or at the time it enters into an advisory contract with the client. The rule does not require advisors to deliver brochures to certain advisory clients receiving only impersonal investment advice or to clients that are investment companies registered under the Investment Company Act of 1940 ("Company Act"). Annual Delivery – Advisors must annually provide to each client to whom they must deliver a brochure either (a) a copy of the current (updated) brochure that includes or is accompanied by the summary of material changes; or (b) a summary of material changes that includes an offer to provide a copy of the current brochure. As proposed each adviser must make this annual delivery no later than 120 days after the end of its fiscal year. Advisors may deliver a brochure and summary of material changes or summary of material changes, along with an offer to provide the brochure to clients electronically in accordance with the Commission's guidelines regarding electronic delivery of information.

Alpha Solutions Investment Advisors, LLC

REGISTERED INVESTMENT ADVISORS

Form ADV Part 2B

(Brochure Supplement)

John Lui

This brochure supplement provides information about John Lui that supplements the of Alpha Solutions Investment Advisors brochure. You should have received a copy of that brochure. Please contact Anthony Sam at 415-882-7088 and/or email to anthony@asiadvisors.com if you did not receive of Alpha Solutions Investment Advisors' brochure or if you have any questions about the contents of this supplement. Additional information about John Lui is available on the SEC's website at www.adviserinfo.sec.gov.

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John Lui

Item 1 – Cover Page

See previous page.

Item 2 – Educational Background and Business Experience

John Lui was born in 1957 and has successfully passed Series 65 test to be an Investment Advisor Representative and is a co-founder and partner with Alpha Solutions Investment Advisors, LLC.

From 2009 to present, Mr. Lui is a Managing Director and Senior Portfolio Manager with Chatham Wealth Management in Chatham, NJ. From 2008 to 2009, Mr. Lui was the President of Wealth Management Consulting Services as a consultant to registered investment advisors. From 2006 to 2007, Mr. Lui was the CEO and CIO for UCB Asset Management. Mr. Lui received a Bachelor of Business Administration in Economics & Finance and a Master of Business Administration in Finance from Pace University.

Item 3 – Disciplinary Information

John Lui has not been nor is currently the subject of any reportable legal or disciplinary event.

Item 4 – Other Business Activities

Mr. Lui is not registered, nor does he have a pending application to register, as a broker-dealer, registered representative of a broker-dealer, futures commission merchant ("FCM"), commodity pool operator ("CPO"), commodity trading advisor ("CTA"), or an associated person of an FCM, CPO or CTA. Mr. Lui is currently employed with Chatham Wealth Management in Chatham, NJ as a Managing Director and Senior Portfolio Manager. This relationship would not create a material conflict of interest with our clients.

Item 5 – Additional Compensation

Mr. Lui has no reportable "Additional Compensation".

Item 6 – Supervision

John Lui will be supervised by Anthony Sam who can be reached at (415)860-8888.

Mr. Lui and Mr. Sam will conduct annual meetings to review existing client activities and compliance related issues.

Item 7 – Requirements for State-Registered Advisers

John Lui has no material facts to disclose regarding events listed in Item 3 of Part 2B (Disciplinary Information) and has not been the subject of a bankruptcy petition.

Alpha Solutions Investment Advisors, LLC

REGISTERED INVESTMENT ADVISORS

Form ADV Part 2B

(Brochure Supplement)

Anthony Sam

This brochure supplement provides information about Anthony Sam that supplements the of Alpha Solutions Investment Advisors brochure. You should have received a copy of that brochure. Please contact Anthony Sam at 415-882-7088 and/or email to anthony@asiadvisors.com if you did not receive of Alpha Solutions Investment Advisors' brochure or if you have any questions about the contents of this supplement. Additional information about Anthony Sam is available on the SEC's website at www.adviserinfo.sec.gov.

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Anthony Sam

Item 1 – Cover Page

See previous page.

Item 2 – Educational Background and Business Experience

Anthony Sam was born in 1958 and has successfully passed Series 65 test to be an Investment Advisor Representative and is a co-founder and partner with Alpha Solutions Investment Advisors, LLC. Mr. Sam has always been an entrepreneur. He has been involved with start-up businesses in fields of consumer electronics, medical devices, telecommunications, real estate, education, brewery, advertising, marketing, import/export and automotive related industries. Mr. Sam also held the position as Chief Financial Officer of xtronx, inc. an outdoor advertising company that managed Digital Video Billboards in Times Square NYC for CBS Television and Macy's. Mr. Sam attended San Francisco State College in San Francisco Ca. but left prior to achieving a degree to pursue entrepreneurial business interests.

Item 3 – Disciplinary Information

Anthony Sam has not been nor is currently the subject of any reportable legal or disciplinary event.

Item 4 – Other Business Activities

Mr. Sam is not registered, nor does he have a pending application to register, as a broker-dealer, registered representative of a broker-dealer, futures commission merchant ("FCM"), commodity pool operator ("CPO"), commodity trading advisor ("CTA"), or an associated person of an FCM, CPO or CTA.

Mr. Sam currently holds a position as a member of the Board of Directors for the following companies:

xtronx, inc, (advertising)

WSJ Management, LLC, (real estate)

Valstock Management, LLC, (real estate)

Quantlux Technologies, LLC, (algorithmic trading platform)

Item 5 – Additional Compensation

Mr. Sam has no reportable "Additional Compensation".

Item 6 – Supervision

Anthony Sam will be supervised by John Lui who can be reached at (609)915-5897. Mr. Sam and Mr. Lui will conduct annual meetings to review existing client activities and compliance related issues.

Item 7 – Requirements for State-Registered Advisers

Anthony Sam has no material facts to disclose regarding events listed in Item 3 of Part 2B (Disciplinary Information) and has not been the subject of a bankruptcy petition.

Alpha Solutions Investment Advisors, LLC

REGISTERED INVESTMENT ADVISORS

Form ADV Part 2B

(Brochure Supplement)

Robert N. Moses, Jr. CFA

This brochure supplement provides information about Robert Moses, Jr. that supplements the of Alpha Solutions Investment Advisors brochure. You should have received a copy of that brochure. Please contact Anthony Sam at 415-882-7088 and/or email to anthony@asiadvisors.com if you did not receive of Alpha Solutions Investment Advisors' brochure or if you have any questions about the contents of this supplement. Additional information about Robert Moses, Jr. is available on the SEC's website at www.adviserinfo.sec.gov.

Disclaimer: The information in this brochure has not been approved or verified by the Securities and Exchange Commission (SEC) or by any state securities authority. Registration as a "Registered Investment Advisor" does not imply a certain level of skill or training.

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Robert N. Moses Jr. CFA

Item 1 – Cover Page

See previous page.

Item 2 – Educational Background and Business Experience

Robert is a highly qualified and success driven investment professional. He has served as a senior analyst at BlackRock, Inc, (formerly Merrill Lynch Investment Managers - MLIM) for a product with \$9 billion in equity assets. Robert also worked as a research analyst for MLIM's separate accounts business, where he provided in depth coverage of the healthcare and financial sectors. Before joining MLIM in 1998, Robert spent five years in the Investment Research Department at The Bank of New York where he covered the healthcare and financials sectors. He began his career as a Senior Associate with AMAS Securities, Inc., eventually managing portfolios for high-net worth individuals. Robert is a graduate of Carnegie Mellon University where he earned a B.S. in Managerial Economics and was awarded the Chartered Financial Analyst designation in 1998.

The Chartered Financial Analyst® (CFA) credential is the most respected and recognized investment management designation in the world. To earn the CFA charter candidates must pass each of three comprehensive six-hour exams covering a broad range of practical portfolio management and advanced investment analysis skills, possess a bachelor's degree from an accredited institution (or have equivalent education or work experience), have 48 months of qualified work experience in the investment decision-making process, and become a regular member of the CFA Institute plus join a local CFA member society. Charter holders are also obligated to adhere and attest annual compliance to the CFA Institute's Code of Ethics and Standards of Professional Conduct, considered by the Institute to be the ethical benchmark for investment professionals around the globe.

Item 3 – Disciplinary Information

Robert N. Moses, Jr. has not been nor is currently the subject of any reportable legal or disciplinary event.

Item 4 – Other Business Activities

Mr. Moses is not registered, nor does he have a pending application to register, as a broker-dealer, registered representative of a broker-dealer, futures commission merchant ("FCM"), commodity pool operator ("CPO"), commodity trading advisor ("CTA"), or an associated person of an FCM, CPO or CTA.

Item 5 – Additional Compensation

In addition to providing Investment Advice, Robert N. Moses, Jr. is also involved in the following business activities:

- ShopRite of Hunterdon County – 40 hours per week CGO Coordinator

Item 6 – Supervision

Robert N. Moses, Jr. will be supervised by John Lui who can be reached at (609)915-5897 or in Mr. Lui's absence by Anthony Sam who can be reached at (415)860-8888. Mr. Lui and Mr. Sam will conduct annual meetings to review existing client activities and compliance related issues.

Item 7 – Requirements for State-Registered Advisers

Robert N. Moses, Jr. has no material facts to disclose regarding events listed in Item 3 of Part 2B (Disciplinary Information) and has not been the subject of a bankruptcy petition.