

# DANIEL J. CLARIC

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

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



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## ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

### 2.A: FIRM DESCRIPTION

**Daniel J. Claric**

Year Born: 1982

### 2.B: EDUCATIONAL BACKGROUND

Bachelor of Science, Economics – University of Oregon (2004)

### 2.C: BUSINESS BACKGROUND

02/2005 – Present: *Investment Advisor Representative*, Alison, LLC

02/2005 – Present: *Registered Representative*, KMS Financial Services, Inc.

### 2.D: PROFESSIONAL QUALIFICATIONS

Series 7, General Securities Representative Examination (2005)

Series 66, Uniform Combined State Law Examination (2005)

## ITEM 3 – DISCIPLINARY INFORMATION

Dan Claric has no legal or disciplinary events that are material to you or a prospective client's evaluation of this advisory business.

## ITEM 4 – OTHER BUSINESS ACTIVITIES

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

## ITEM 5 – ADDITIONAL COMPENSATION

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

## ITEM 6 – SUPERVISION

Dan Claric is not a supervising authority at Alison, LLC but does work closely with and is monitored by the supervising member of the firm. The supervising member is Stephen Alison; who remains aware of and keeps us in compliance with the current rules and regulations put forth by each ruling regulatory authority where we conduct our business. Alison, LLC has established internal policies for the guidance of its trading personnel, specifying minimum and maximum commissions to be paid for various types and sizes of transactions. Transactions, which vary from the guidelines, are subject to periodic supervisory review. These guidelines are reviewed yearly and periodically adjusted. The general level of brokerage commissions paid is periodically reviewed by Alison, LLC. Evaluations of the reasonableness of brokerage commissions are made by Alison, LLC's trading personnel while effecting portfolio transactions for clients.

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

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

## ITEM 7 – REQUIREMENTS FOR STATE REGISTERED ADVISORS

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

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