

# CHARLES JOHN EHNOT

215 SWINICK DRIVE  
DUNMORE, PA 18512

570-479-2289

## SUPREME ALLIANCE LLC

Langenberg Strasse 26, Haschbach, Germany 66871

561-460-2870

[www.supremealliancellc.com](http://www.supremealliancellc.com)

### Part 2B of Form ADV: Brochure Supplement

01/31/2021

This Brochure Supplement ("Supplement") provides information about **CHARLES JOHN EHNOT**, that supplements the applicable Supreme Alliance LLC Brochure ("Brochure"). You should have already received a copy of that Brochure. Please contact the Investment Advisory Compliance Department 561-410-5002 if you did not receive Supreme Alliance LLC's Brochure or if you have any questions about the contents of this Supplement.

Additional information about CHARLES JOHN EHNOT is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

#### ITEM 2: Education background and Business experience

**CHARLES JOHN EHNOT**

**12/29/1954 39 YEARS EXPERIENCE**

### Post High School Education:

College / University Name	Dates Attended	Degree Earned
TEMPLE UNIVERSITY	1972-1978	BA

### Ten Year Business Background:

C V BROKERAGE	03/20/2017-05/10/2019
L. M. KOHN	01/17/2012-01/23/2017
MID-SOUTH CAPITAL	02/12/2002-01/17/2012

Supreme Alliance LLC	10/23/2019-Present	RR / IAR
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PREVIOUS Employers	From – To	Position
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### ITEM 3: Disciplinary Information:

Supreme Alliance LLC is required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

CHARLES JOHN EHNOT has material disciplinary events to disclose.

12/23/1992 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: CLIENT ALLEGES MISREPRESENTATION AND UNSUITABILITY IN CONNECTION WITH PRUDENTIAL LIMITED PARTNERSHIPS AND PRUTECH, SUMMIT, POLARIS, PB ENERGY, & AG SPANOS. DAMAGES OF \$50,000 ARE CLAIMED.

DAMAGE AMOUNT REQUESTED: \$50,000

SETTLEMENT AMOUNT: \$25,000

BROKER COMMENT: IN REGARDS TO RESPONSE #11, THIS IS A "GOOD FAITH DETERMINATION" BY MR. EHNOT.

10/21/1993 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: THE ABOVE CLIENTS SUBMITTED CLAIM FORMS TO THE CLAIMS RESOLUTION PROCESS RELATING TO LIMITED PARTNERSHIP PURCHASES. NO DAMAGES WERE ALLEGED, BUT THE AMOUNTS OF ACTUAL LOSS IS/ARE APPROX \$8,416; \$7,448; \$16,533

DAMAGE AMOUNT REQUESTED: \$16,533.00

SETTLEMENT AMOUNT: \$28,346.00

BROKER COMMENT: PRUDENTIAL SEC LTD PARTNERSHIP SETTLEMENT FUND NO DAMAGES WERE ALLEGED, BUT SETTLEMENTS WERE IN THE AMOUNTS OF \$20, 962, \$16,562, \$28,346. ALL PARTNERSHIPS WERE PRUDENTIAL SECURITIES INVESTMENTS THAT WERE SUPPOSED TO BE SOLID INVESTMENTS FOR EVERYONE RETURNS WERE TO BE WELL ABOVE AVERAGE AS FAR AS DIVIDENDS AND GROWTH. WE AS BROKERS BELIEVED WHAT PRUDENTIAL GAVE TO US AS FAR AS INFORMATION. WE WERE LIED TO.

10/21/1993 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: THE ABOVE CLIENTS SUBMITTED CLAIM FORMS TO THE CLAIMS RESOLUTION PROCESS RELATING TO LIMITED PARTNERSHIP PURCHASES. NO DAMAGES WERE ALLEGED, BUT THE AMOUNTS OF ACTUAL LOSS IS/ARE APPROX \$8,416; \$7,448; \$16,533

DAMAGE AMOUNT REQUESTED: \$7,448.00

SETTLEMENT AMOUNT: \$16,652.00

BROKER COMMENT: PRUDENTIAL SEC LTD PARTNERSHIP SETTLEMENT FUND NO DAMAGES WERE ALLEGED, BUT SETTLEMENTS WERE IN THE AMOUNTS OF \$20, 962, \$16,562, \$28,346. ALL PARTNERSHIPS WERE PRUDENTIAL SECURITIES INVESTMENTS THAT WERE SUPPOSED TO BE SOLID INVESTMENTS FOR EVERYONE RETURNS WERE TO BE WELL ABOVE AVERAGE AS FAR AS DIVIDENDS AND GROWTH. WE AS BROKERS BELIEVED WHAT PRUDENTIAL GAVE TO US AS FAR AS INFORMATION. WE WERE LIED TO.

10/21/1993 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: THE ABOVE CLIENTS SUBMITTED CLAIM FORMS TO THE CLAIMS RESOLUTION PROCESS RELATING TO LIMITED PARTNERSHIP PURCHASES. NO DAMAGES WERE ALLEGED, BUT THE AMOUNTS OF ACTUAL LOSS IS/ARE APPROX \$8,416; \$7,448; \$16,533.

DAMAGE AMOUNT REQUESTED: \$8,416

SETTLEMENT AMOUNT: \$20,962.00

BROKER COMMENT: PRUDENTIAL SEC LTD PARTNERSHIP SETTLEMENT FUND NO DAMAGES WERE ALLEGED, BUT SETTLEMENTS WERE IN THE AMOUNTS OF \$20, 962, \$16,562, \$28,346. ALL PARTNERSHIPS WERE PRUDENTIAL SECURITIES INVESTMENTS THAT WERE SUPPOSED TO BE SOLID INVESTMENTS FOR EVERYONE RETURNS WERE TO BE WELL ABOVE AVERAGE AS FAR AS DIVIDENDS AND GROWTH. WE AS BROKERS BELIEVED WHAT PRUDENTIAL GAVE TO US AS FAR AS INFORMATION. WE WERE LIED TO.

10/21/1993 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: PRUDENTIAL SEC LTD PARTNERSHIP SETTLEMENT FD NO DAMAGES WERE ALLEGED ACTUAL OUT OF POCKET LOSS ARE APPROX \$86,543; \$13,064; \$7,227; \$20,995; \$19,572; \$23,329; \$7,819; \$20,746

DAMAGE AMOUNT REQUESTED: \$20,746.00

SETTLEMENT AMOUNT: \$11,656.00

BROKER COMMENT: (1) 140,109 (2) 22,397 (3) 11,185 (4) 32,522 (5) 39,981 (6) 48,396 (7) 11,656 5&6 WERE IN QUESTION 3 WERE ADDED TOGETHER MOST OF MY PARTNERSHIP BUSINESS WAS DONE THROUGH SEMINARS AND THESE PEOPLE ALL ATTENDED A SEMINAR. THEY BELIEVED WHAT THEY WERE TOLD AT THE SEMINAR AND PURCHASED PARTNERSHIPS. SEMINARS WERE ALL PRESENTED BY PRUDENTIAL REGIONAL PEOPLE OR BY WHOLESALER. I NEVER DID ONE OF THESE SEMINARS BY MYSELF.

10/21/1993 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: PRUDENTIAL SEC LTD PARTNERSHIP SETTLEMENT FD NO DAMAGES WERE ALLEGED ACTUAL OUT OF POCKET LOSS ARE APPROX \$86,543; \$13,064; \$7,227; \$20,995; \$19,572; \$23,329; \$7,819; \$20,746

DAMAGE AMOUNT REQUESTED: \$7,819.00

SETTLEMENT AMOUNT: \$11,656.00

BROKER COMMENT: (1) 140,109 (2) 22,397 (3) 11,185 (4) 32,522 (5) 39,981 (6) 48,396 (7) 11,656 5&6 WERE IN QUESTION 3 WERE ADDED TOGETHER MOST OF MY PARTNERSHIP BUSINESS WAS DONE THROUGH SEMINARS AND THESE PEOPLE ALL ATTENDED A SEMINAR. THEY BELIEVED WHAT THEY WERE TOLD AT THE SEMINAR AND PURCHASED PARTNERSHIPS. SEMINARS WERE ALL PRESENTED BY PRUDENTIAL REGIONAL PEOPLE OR BY WHOLESALER. I NEVER DID ONE OF THESE SEMINARS BY MYSELF.

10/21/1993 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: PRUDENTIAL SEC LTD PARTNERSHIP SETTLEMENT FD NO DAMAGES WERE ALLEGED ACTUAL OUT OF POCKET LOSS ARE APPROX \$86,543; \$13,064; \$7,227; \$20,995; \$19,572; \$23,329; \$7,819; \$20,746

DAMAGE AMOUNT REQUESTED: \$23,329.00

SETTLEMENT AMOUNT: \$48,396.00

BROKER COMMENT: (1) 140,109 (2) 22,397 (3) 11,185 (4) 32,522 (5) 39,981 (6) 48,396 (7) 11,656 5&6 WERE IN QUESTION 3 WERE ADDED TOGETHER MOST OF MY PARTNERSHIP BUSINESS WAS DONE THROUGH SEMINARS AND THESE PEOPLE ALL ATTENDED A SEMINAR. THEY BELIEVED WHAT THEY WERE TOLD AT THE SEMINAR AND PURCHASED PARTNERSHIPS. SEMINARS WERE ALL PRESENTED BY PRUDENTIAL REGIONAL PEOPLE OR BY WHOLESALER. I NEVER DID ONE OF THESE SEMINARS BY MYSELF.

10/21/1993 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: PRUDENTIAL SEC LTD PARTNERSHIP SETTLEMENT FD NO DAMAGES WERE ALLEGED ACTUAL OUT OF POCKET LOSS ARE APPROX \$86,543; \$13,064; \$7,227; \$20,995; \$19,572; \$23,329; \$7,819; \$20,746

DAMAGE AMOUNT REQUESTED: \$19,572.00

SETTLEMENT AMOUNT: \$39,981

BROKER COMMENT: (1) 140,109 (2) 22,397 (3) 11,185 (4) 32,522 (5) 39,981 (6) 48,396 (7) 11,656 5&6 WERE IN QUESTION 3 WERE ADDED TOGETHER MOST OF MY PARTNERSHIP BUSINESS WAS DONE THROUGH SEMINARS AND THESE PEOPLE ALL ATTENDED A SEMINAR. THEY BELIEVED WHAT THEY WERE TOLD AT THE SEMINAR AND PURCHASED PARTNERSHIPS. SEMINARS WERE ALL PRESENTED BY PRUDENTIAL REGIONAL PEOPLE OR BY WHOLESALER. I NEVER DID ONE OF THESE SEMINARS BY MYSELF.

10/21/1993 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: PRUDENTIAL SEC LTD PARTNERSHIP SETTLEMENT FD NO DAMAGES WERE ALLEGED ACTUAL OUT OF POCKET LOSS ARE APPROX \$86,543; \$13,064; \$7,227; \$20,995; \$19,572; \$23,329; \$7,819; \$20,746

DAMAGE AMOUNT REQUESTED: \$20,995.00

SETTLEMENT AMOUNT: \$32,522.00

BROKER COMMENT: (1) 140,109 (2) 22,397 (3) 11,185 (4) 32,522 (5) 39,981 (6) 48,396 (7) 11,656 5&6 WERE IN QUESTION 3 WERE ADDED TOGETHER MOST OF MY PARTNERSHIP BUSINESS WAS DONE THROUGH SEMINARS AND THESE PEOPLE ALL ATTENDED A SEMINAR. THEY BELIEVED WHAT THEY WERE TOLD AT THE SEMINAR AND PURCHASED PARTNERSHIPS. SEMINARS WERE ALL PRESENTED BY PRUDENTIAL REGIONAL PEOPLE OR BY WHOLESALER. I NEVER DID ONE OF THESE SEMINARS BY MYSELF.

10/21/1993 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: PRUDENTIAL SEC LTD PARTNERSHIP SETTLEMENT FD NO DAMAGES WERE ALLEGED ACTUAL OUT OF POCKET LOSS ARE APPROX \$86,543; \$13,064; \$7,227; \$20,995; \$19,572; \$23,329; \$7,819; \$20,746

DAMAGE AMOUNT REQUESTED: \$7,227.00

SETTLEMENT AMOUNT: \$11,185.00

BROKER COMMENT: (1) 140,109 (2) 22,397 (3) 11,185 (4) 32,522 (5) 39,981 (6) 48,396 (7) 11,656 5&6 WERE IN QUESTION 3 WERE ADDED TOGETHER MOST OF MY PARTNERSHIP BUSINESS WAS DONE THROUGH SEMINARS AND THESE PEOPLE ALL ATTENDED A SEMINAR. THEY BELIEVED WHAT THEY WERE TOLD AT THE SEMINAR AND PURCHASED PARTNERSHIPS. SEMINARS WERE ALL PRESENTED BY PRUDENTIAL REGIONAL PEOPLE OR BY WHOLESALER. I NEVER DID ONE OF THESE SEMINARS BY MYSELF.

10/21/1993 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: PRUDENTIAL SEC LTD PARTNERSHIP SETTLEMENT FD NO DAMAGES WERE ALLEGED ACTUAL OUT OF POCKET LOSS ARE APPROX \$86,543; \$13,064; \$7,227; \$20,995; \$19,572; \$23,329; \$7,819; \$20,746

DAMAGE AMOUNT REQUESTED: \$13,064.00

SETTLEMENT AMOUNT: \$22,397.00

BROKER COMMENT: (1) 140,109 (2) 22,397 (3) 11,185 (4) 32,522 (5) 39,981 (6) 48,396 (7) 11,656 5&6 WERE IN QUESTION 3 WERE ADDED TOGETHER MOST OF MY PARTNERSHIP BUSINESS WAS DONE THROUGH SEMINARS AND THESE PEOPLE ALL ATTENDED A SEMINAR. THEY BELIEVED WHAT THEY WERE TOLD AT THE SEMINAR AND PURCHASED PARTNERSHIPS. SEMINARS WERE ALL PRESENTED BY PRUDENTIAL REGIONAL PEOPLE OR BY WHOLESALER. I NEVER DID ONE OF THESE SEMINARS BY MYSELF.

10/21/1993 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: PRUDENTIAL SEC LTD PARTNERSHIP SETTLEMENT FD NO DAMAGES WERE ALLEGED ACTUAL OUT OF POCKET LOSS ARE APPROX \$86,543; \$13,064; \$7,227; \$20,995; \$19,572; \$23,329; \$7,819; \$20,746

DAMAGE AMOUNT REQUESTED: \$86,543.00

SETTLEMENT AMOUNT: \$140,109.00

BROKER COMMENT: (1) 140,109 (2) 22,397 (3) 11,185 (4) 32,522 (5) 39,981 (6) 48,396 (7) 11,656 5&6 WERE IN QUESTION 3 WERE ADDED TOGETHER MOST OF MY PARTNERSHIP BUSINESS WAS DONE THROUGH SEMINARS AND THESE PEOPLE ALL ATTENDED A SEMINAR. THEY BELIEVED WHAT THEY WERE TOLD AT THE SEMINAR AND PURCHASED PARTNERSHIPS. SEMINARS WERE ALL PRESENTED BY PRUDENTIAL REGIONAL PEOPLE OR BY WHOLESALER. I NEVER DID ONE OF THESE SEMINARS BY MYSELF.

10/21/1993 CUSTOMER DISPUTE SETTLED

ALLEGATIONS PRUDENTIAL SECURITIES LTD PARTNERSHIP SETTLEMENT RD NO DAMAGES WERE ALLEGED. ACTUAL LOSSES ARE APPROX \$65,013; \$20,699; \$27,168; \$16,851; \$16,963; \$26,690.

DAMAGE AMOUNT REQUESTED: \$26,690.00

SETTLEMENT AMOUNT: \$51,265.00

BROKER COMMENT: A SETTLEMENT FOR \$119,532; \$41,367, \$40,768; \$48,976; \$29,353; \$20,199; \$51,265. ALL THESE PEOPLE ATTENDED A SEMINAR AND BOUGHT WHAT WAS PROMISED TO HAVE HAPPENED TO OVER A PERIOD OF 7-10 YEARS OBVIOUSLY NONE OF THESE PROMISES HAVE EVER COME TO FRUITION THANK YOU PRUDENTIAL SECURITIES.

10/21/1993 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: PRUDENTIAL SECURITIES LTD PARTNERSHIP SETTLEMENT RD NO DAMAGES WERE ALLEGED. ACTUAL LOSSES ARE APPROX \$65,013; \$20,699; \$27,168; \$16,851; \$16,963; \$26,690.

DAMAGE AMOUNT REQUESTED: \$16,963.00

SETTLEMENT AMOUNT: \$20,199.00

BROKER COMMENT: A SETTLEMENT FOR \$119,532; \$41,367, \$40,768; \$48,976; \$29,353; \$20,199; \$51,265. ALL THESE PEOPLE ATTENDED A SEMINAR AND BOUGHT WHAT WAS PROMISED TO HAVE HAPPENED TO OVER A PERIOD OF 7-10 YEARS OBVIOUSLY NONE OF THESE PROMISES HAVE EVER COME TO FRUITION THANK YOU PRUDENTIAL SECURITIES.

10/21/1993 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: PRUDENTIAL SECURITIES LTD PARTNERSHIP SETTLEMENT RD NO DAMAGES WERE ALLEGED. ACTUAL LOSSES ARE APPROX \$65,013; \$20,699; \$27,168; \$16,851; \$16,963; \$26,690.

DAMAGE AMOUNT REQUESTED: \$16,851.00

SETTLEMENT AMOUNT: \$29,353.00

BROKER COMMENT: A SETTLEMENT FOR \$119,532; \$41,367, \$40,768; \$48,976; \$29,353; \$20,199; \$51,265. ALL THESE PEOPLE ATTENDED A SEMINAR AND BOUGHT WHAT WAS PROMISED TO HAVE HAPPENED TO OVER A PERIOD OF 7-10 YEARS OBVIOUSLY NONE OF THESE PROMISES HAVE EVER COME TO FRUITION THANK YOU PRUDENTIAL SECURITIES.

10/21/1993 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: PRUDENTIAL SECURITIES LTD PARTNERSHIP SETTLEMENT RD NO DAMAGES WERE ALLEGED. ACTUAL LOSSES ARE APPROX \$65,013; \$20,699; \$27,168; \$16,851; \$16,963; \$26,690.

DAMAGE AMOUNT REQUESTED: \$27,168.00

SETTLEMENT AMOUNT: \$48,976.00

BROKER COMMENT: A SETTLEMENT FOR \$119,532; \$41,367, \$40,768; \$48,976; \$29,353; \$20,199; \$51,265. ALL THESE PEOPLE ATTENDED A SEMINAR AND BOUGHT WHAT WAS PROMISED TO HAVE HAPPENED TO OVER A PERIOD OF 7-10 YEARS OBVIOUSLY NONE OF THESE PROMISES HAVE EVER COME TO FRUITION THANK YOU PRUDENTIAL SECURITIES.

10/21/1993 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: PRUDENTIAL SECURITIES LTD PARTNERSHIP SETTLEMENT RD NO DAMAGES WERE ALLEGED. ACTUAL LOSSES ARE APPROX \$65,013; \$20,699; \$27,168; \$16,851; \$16,963; \$26,690.

DAMAGE AMOUNT REQUESTED: \$21,284.00

SETTLEMENT AMOUNT: \$40,768.00

BROKER COMMENT: A SETTLEMENT FOR \$119,532; \$41,367, \$40,768; \$48,976; \$29,353; \$20,199; \$51,265. ALL THESE PEOPLE ATTENDED A SEMINAR AND BOUGHT WHAT WAS PROMISED TO HAVE HAPPENED TO OVER A PERIOD OF 7-10 YEARS OBVIOUSLY NONE OF THESE PROMISES HAVE EVER COME TO FRUITION THANK YOU PRUDENTIAL SECURITIES.

10/21/1993 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: PRUDENTIAL SECURITIES LTD PARTNERSHIP SETTLEMENT RD NO DAMAGES WERE ALLEGED. ACTUAL LOSSES ARE APPROX \$65,013; \$20,699; \$27,168; \$16,851; \$16,963; \$26,690.

DAMAGE AMOUNT REQUESTED: \$20,699.00

SETTLEMENT AMOUNT: \$41,367.00

BROKER COMMENT: A SETTLEMENT FOR \$119,532; \$41,367, \$40,768; \$48,976; \$29,353; \$20,199; \$51,265. ALL THESE PEOPLE ATTENDED A SEMINAR AND BOUGHT WHAT WAS PROMISED TO HAVE HAPPENED TO OVER A PERIOD OF 7-10 YEARS OBVIOUSLY NONE OF THESE PROMISES HAVE EVER COME TO FRUITION THANK YOU PRUDENTIAL SECURITIES.

10/21/1993 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: PRUDENTIAL SECURITIES LTD PARTNERSHIP SETTLEMENT RD NO DAMAGES WERE ALLEGED. ACTUAL LOSSES ARE APPROX \$65,013; \$20,699; \$27,168; \$16,851; \$16,963; \$26,690.

DAMAGE AMOUNT REQUESTED: \$65,013.00

SETTLEMENT AMOUNT: \$119,532.00

BROKER COMMENT: A SETTLEMENT FOR \$119,532; \$41,367, \$40,768; \$48,976; \$29,353; \$20,199; \$51,265. ALL THESE PEOPLE ATTENDED A SEMINAR AND BOUGHT WHAT WAS PROMISED TO HAVE HAPPENED TO OVER A PERIOD OF 7-10 YEARS OBVIOUSLY NONE OF THESE PROMISES HAVE EVER COME TO FRUITION THANK YOU PRUDENTIAL SECURITIES.

10/21/1993 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: PRUDENTIAL SECURITIES LIMITED PARTNERSHIP SETTLEMENT FD. NO DAMAGES WERE ALLEGED. ACTUAL LOSS ARE APPROX \$9,529.00

SETTLEMENT AMOUNT: \$23,349.00

BROKER COMMENT: \$23,349 PAID TO CLIENT CAME TO SEMINAR AND LIKED WHAT WAS PRESENTED BY WHOLESALER. INVESTMENT THAT CAME NO WHERE NEAR WHAT THEY WERE TOLD. AGAIN, THE BROKER IS HELD LIABLE FOR WHAT PRUDENTIAL AND THE GENERAL PARTNERS SAID WOULD HAPPEN TO THESE HORRIBLE INVESTMENTS.



06/23/1994 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: BREACH OF FIDUCIARY DT, ACCOUNT RELATED; BREACH OF CONTRACT CHURNING  
ACCOUNT RELATED NEGLIGENCE

BROKER COMMENT: SETTLED FOR \$ 44,000 MOST OF STOCKS PURCHASED EITHER PRUDENTIAL TOP PICKS OR CLIENTS PICKS, FIRST TIME CLIENTS CLAIM WAS REJECTED. THEY WENT TO ANOTHER ATTORNEY AND HE TOOK THE CASE, PRUDENTIAL THEN BELIEVED IT WOULD BE CHEAPER TO SETTLE THAN TO FIGHT THIS CASE AND AGAIN THE BROKER IS THE SCAPEGOAT. THEY ARE ROGUE CLIENTS. THE SYSTEM NEEDS SOME TYPE OF REFORM TO PROTECT THE BROKERS. THESE CLIENTS HAVE MOVED FROM FIRM TO FIRM SUING EVERYTIME.

06/23/1994 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: BREACH OF FIDUCIARY DT; ACCOUNT RELATED; BREACH OF CONTRACT, CHURNING,  
ACCOUNT RELATED-NEGLIGENCE.

DAMAGE AMOUNT REQUESTED: \$ 82,906.18

SETTLEMENT AMOUNT: \$ 44,000

BROKER COMMENT: SETTLEMENT PAPERS WERE SIGNED FOR \$ 44,000 TO SPLIT BETWEEN ALL PARTIES INCLUDING THE (OTHER CUSTOMERS NAMED) BECAUSE ALL THESE PEOPLE ARE RELATED. NEVER WAS A TRADE MADE IN ANY OF THESE ACCOUNTS WITHOUT CALLING AND GETTING APPROVAL. IF I DID SUCH A BAD JOB WHY DID THEY KEEP ON REFERRING PEOPLE TO ME? PURCHASES OF STOCK WERE EITHER PRUDENTIAL TOP PICKS OR THE CLIENTS WITH THE EXCEPTION OF ONE STOCK AS FAR AS I CAN REMEMBER. I MET WITH THESE PEOPLE VERY OFTEN AND THEY WERE VERY HAPPY UNTIL THE MARKET FELL A FEW HUNDRED POINTS AND THEN EVERYTHING THAT WAS EVER DONE IN THE ACCOUNTS WAS ALL WRONG. THIS WAS TOTALLY UNFAIR.

04/03/2001 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: CUSTOMER ALLEGES THAT UNSUITABLE TRADING LED TO THE LOSS OF THEIR ENTIRE  
ACCOUNT VALUE.

DAMAGE AMOUNT REQUESTED: \$ 400,000

SETTLEMENT AMOUNT: \$ 100,000

BROKER COMMENT: FILE A U-4 AMENDMENT ON THIS COMPLAINT IN ERROR. THIS FILING IS TO EDIT THIS COMPLAINT BACK TO ORIGINAL AND CORRECT STATUS.

02/26/2002 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: EXCESSIVE TRADING

DAMAGE AMOUNT REQUESTED: \$ 400,000

SETTLEMENT AMOUNT: \$ 150,000

02/11/2005 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: UNAUTHORIZED AND EXCESSIVE TRADING IN HER JOINT ACCOUNT, UNAUTHORIZED USE OF MARGIN UNSUITABLE PURCHASES OF SECURITIES AND FAILURE TO SUPERVISE FA CHARLES EHNOT. CLAIM LOSS OF \$ 90,000

DAMAGE AMOUNT REQUESTED: \$ 90,000

SETTLEMENT AMOUNT: \$ 18,500

BROKER COMMENT: MR. EHNOT HANDLED THE ACCOUNT FOR A VERY SHORT PERIOD OF TIME AND RECALLS VERY FEW TRADES DURING THAT TIME PERIOD. HE RECALLS THAT AFTER HAVING A DISPUTE OVER A SELL ORDER PLACED BY THE CUSTOMER, THAT THE CUSTOMER LATTER DENIED DOING WHEN THE STOCK ROSE MR. EHNOT HAD THE OFFICE MANAGER(THIRD PARTY) TAKE OVER THE ACCOUNT AND ASSUMES THAT WHATEVER ISSUES HAPPENED WITH THIS ACCOUNT OCCURRED AFTER HE WAS NO LONGER THE BROKER OF RECORD.

07/31/2006 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: PENNSYLVANIA RESIDENT ALLEDGED THAT FA ENGAGED IN UNSUITABLE, UNAUTHORIZED AND EXCESSIVE TRADINGAND THAT THERE WAS FAILURE TO SUPERVISE FROM 1998-THROUGH 2004. CLAIMANT SOUGHT ALLEDGED DAMAGES OF \$ 100,000 PLUS ATTORNEY FEES, COSTS, AND PUNITIVE DAMAGES.

DAMAGE AMOUNT REQUESTED: \$ 100,000

SETTLEMENT AMOUNT: \$ 45,000

BROKER COMMENT: SETTLED FOR \$ 45,000

08/05/2006 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: ALLEDGE FRAUD, MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, LOSSES CLAIMED \$ 40,000

DAMAGE AMOUNT REQUESTED: \$ 49,999

SETTLEMENT AMOUNT: \$ 32,500

11/10/2008 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: SUITABILITY AND PERFORMANCE OF INVESTMENTS RECOMMENDED.

DAMAGE AMOUNT REQUESTED: \$ 50,000

BROKER COMMENT: REQUEST FOR RESTITUTION DENIED BY THE FIRM AND BY REGISTERED REPRESENTATIVE.

06/09/2015 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: UNSUPERVISED BY KOHN. PRICE OF OIL DECLINED BY 2/3 OVER A 4-5 MONTH PERIOD OCTOBER 2014 THRU MARCH 2015. CLIENT HAD A NUMBER OF MLP'S IN THE OIL INDUSTRY AND THE SHARES DECLINED IN PRICE AND SO DID THE DIVIDENDS. CLIENT KEPT ON TAKING MORE AND MORE CASH OUT MAKING IT IMPOSSIBLE TO KEEP UP WITH THEIR REQUESTS FOR MORE CASH.

DAMAGE AMOUNT REQUESTED: \$ 160,000

SETTLEMENT Amount: \$ 49,750

03/27/2018 CUSTOMER DISPUTE SETTLED

ALLEGATIONS: CLIENT ALLEGES THAT REP DID NOT HAVE AUTHORIZATION TO EXECUTE A TRADE.

DAMAGE AMOUNT REQUESTED: \$ 20,000

SETTLEMENT AMOUNT: \$ 20,000

06/07/2018 JUDGMENT/LEIN RESOLVING

JUDGMENT/LEIN AMOUNT: \$ 19,000

JUDGMENT/LEIN TYPE: TAX

BROKER COMMENT: RR WAS NOT AWARE OF THIS TAX AND BELIEVES IT TO BE IN ERROR. HE IS IN PROCESS OF RESOLVING IT.

06/07/2018 JUDGMENT/LEIN RESOLVING

JUDGMENT/LEIN AMOUNT: \$ 25,065.79

JUDGMENT/LEIN TYPE: TAX

BROKER COMMENT: RR WAS NOT AWARE OF THE TAX LEIN AND BELIEVES IT IS IN ERROR. HE IS IN PROCESS OF RESOLVING.

#### ITEM 4: Other Business Activities:

CHARLES JOHN EHNOT is affiliated with Supreme Alliance LLC, as a Registered Person. Supreme Alliance LLC is a Registered Broker/Dealer and an Investment Advisor with the Securities Exchange Commission ("SEC") and is a Member of the Financial Industry Regulatory Authority, Inc ("FINRA"). Registered Persons affiliated with Supreme Alliance LLC, recommend certain securities for which they receive a commission, markup or markdown. Registered Persons affiliated with Supreme Alliance LLC that offer various advisory services for which they receive a fee, are called Investment Advisor Representatives ("IARS").

Commissions/Mark-ups/Mark-downs for effecting securities transactions are separate and apart from the fees charged by Supreme Alliance LLC IARs for advisory services.

Supreme Alliance LLC and the IAR may receive compensation from the sale of securities or other investment products, including but not limited to investment company securities, variable products, or other assets purchased within advisory accounts. Additionally, these products may have additional internal expenses such as custodial fees, account maintenance fees, and / or a portion of fund manager fees that may result in increased costs to the Client. This creates a potential conflict of interest, however, Supreme Alliance LLC has implemented a policy that states that IARs may not receive commissions and advisory fees simultaneously for products purchased in an advisory account. An IAR may, however, recommend, and/or sell a product, receive a commission, and link that product to an advisory account after one year for ongoing management services. In lieu of waiting a full year to link the product to the advisory account, the IAR may utilize the Fee Offset Program described in the applicable Supreme Alliance LLC Brochure.

**CHARLES JOHN EHNOT** is currently engaged in the following "Other Business Activities", and may receive compensation for these activities:

Outside Business Activity: BOARD MEMBER SHERWOOD PARK YOUTH  
ASSOCIATION, HOUSE DIRECTOR SIGMA PI FRATERNITY EAST  
STROUDSBURG UNIVERSITY, PA

Fixed/Index Insurance/Annuity sales, \_\_\_\_\_AIG, F & G, ALLIANZ, NATIONAL  
WESTERN\_\_\_\_\_

Please note that the compensation that the IAR receives for participating in the activities listed above is separate and distinct from the advisory fees that they receive when performing investment advisory services through Supreme Alliance LLC.

#### ITEM 5: ADDITIONAL COMPENSATION:

Supreme Alliance LLC has entered into arrangements called "Revenue Sharing Agreements" with some product sponsors (referred to as "Premier Partners". These Premier Partners provide compensation and in return, they receive increased marketing exposure to the sales force. To see a list of product sponsors who are considered Premier Partners, please visit our website at [www.supremealliancellc.com](http://www.supremealliancellc.com) .

Supreme Alliance LLC does not pay nor does it allow its IARs to receive any monetary compensation from Premier Partners in the form of bonuses or incentives either as an inducement to sell or as a reward for having sold a Premier Partner's product. Supreme Alliance LLC receives the revenue directly from the Premier Partners; the revenue is not paid to IARs.

Supreme Alliance LLC uses the revenue from its Premier Partners to support certain marketing efforts. For example, the monies are used for Supreme Alliance LLC's National Educational Conference. The Conference is an opportunity to communicate new product ideas to Supreme Alliance LLC Registered Persons and IARs, to train them and their assistants, and to keep them abreast of regulatory requirements. The revenue is also used to pay for annual awards for the Supreme Alliance LLC Registered Persons who generate the most sales overall and to pay for Supreme Alliance LLC's general marketing expenses. A Supreme Alliance LLC Registered Person or IAR may receive an award, in the form of a Trophy, Plaque or Medal from Supreme Alliance LLC as recognition for total sales. As such, top producing Supreme Alliance LLC Registered Persons may receive an award based upon total sales with Supreme Alliance LLC, which may or may not include the Premier Partners products.

Additionally, Supreme Alliance LLC hosts a top producer event each year as well as periodic regional events that have production qualification requirements to participate. These events are designed to provide education and training but may include recreational activities as well. Qualification for such events are based on total production at Supreme Alliance LLC, traditional insurance/annuity, securities, and advisory production. None of the qualifications require the sale of specific products or the use of specific money managers.

#### ITEM 6: SUPERVISION:

Henry C. Smith II  
Supervising Principal

President, CEO, CCO  
TITLE

561-460-2870  
Telephone #

Office of Supervisory Jurisdiction Managers (OSJ Managers) and Home Office Principals (HOPS) collectively, "Principals", may be designated as the immediate supervisors of IARs. The Principal designated by Supreme Alliance LLC is responsible for the day-to-day management and supervision of the activities of the IARs under their direct supervision

The Principals supervise the IARs that are assigned to them by reviewing certain new account documentation for suitability and use systems to ensure that the transactions are Suitable and Appropriate.

Supreme Alliance LLC values your business. If you have any questions that are not addressed in this Brochure Supplement, please contact your IAR.