



Annual Disclosures – 2026

Payment for Order Flow

Pursuant to federal securities regulations, A.G.P. / Alliance Global Partners is required to disclose at the time your account is opened, and annually thereafter, our payment for order flow practices.

Equity Orders

A.G.P. / Alliance Global Partners sends certain equity orders to exchanges or broker-dealers during normal business hours and during extended trading sessions. Some of these market centers provide payments to A.G.P. / Alliance Global Partners or charge access fees depending upon the characteristics of the order and any subsequent execution. These payments are considered payment for order flow even though they may not necessarily offset our aggregate payments for execution. In addition, A.G.P. / Alliance Global Partners may execute certain equity orders as principal. The source and amount of any compensation will be disclosed upon request.

Options

A.G.P. / Alliance Global Partners receives payments for directing listed options order flow to certain option exchanges through broker-dealers, which allows Pershing to access price improvement auctions on the various options exchanges. Compensation is generally in the form of a per-option contract cash payment. The source and amount of any compensation will be disclosed upon request.

Best Execution

The designated market centers to which orders are routed are selected based on the following criteria:

- Consistent high quality of executions in one or more market segments
- Ability to provide opportunities for executions at prices superior to the national best bid or offer (NBBO)
- Quality of service and accessibility
- Speed of execution

A.G.P. / Alliance Global Partners regularly reviews reports for quality of execution.

MSRB Rule G-10

A.G.P. / Alliance Global Partners is registered with the U.S. Securities and Exchange Commission ("SEC") and the Municipal Securities Rulemaking Board ("MSRB"). The website for the SEC is www.sec.gov and the website for the MSRB is www.msrb.org. There is a brochure available on

the MSRB website that describes the protections provided by MSRB rules and how to file a complaint with the appropriate regulatory authority.

Notice – Department of the Firm to Direct Complaints

You may direct any complaints concerning your relationship with A.G.P. / Alliance Global Partners to:

A.G.P. / Alliance Global Partners Inc. 88 Post Road West, 2nd Floor Westport, CT 06880
Attn: Compliance Department Phone: 646-905-2167

Notification of SEC Rule 606

Rule 606

Broker-dealers must make quarterly reports available to the public, disclosing their order routing practices for orders that are not directed to specific exchanges and trading venues. Rule 606 information can be found at:

<https://allianceg.com/sec-disclosures/>

Rule 606(a)

Quarterly order routing reports for Q1 2020 and beyond are publicly available on the FINRA website at www.finra.org. In accordance with FINRA Rule 6151, A.G.P. / Alliance Global Partners submits its Rule 606(a) reports to FINRA for centralized publication. Upon request, A.G.P. / Alliance Global Partners will also disclose to customers the specific venues to which their individual orders were routed.

SEC Rule 606(b)(1)

A.G.P. / Alliance Global Partners, upon request of its customer, will provide details on NMS stock and option non-directed orders in NMS securities, including the identity of the venue and the time of execution for the prior six months.

SEC Rule 606(b)(3)

A.G.P. / Alliance Global Partners, upon request of its customer, will provide specific disclosures related to the routing and execution of the customer's NMS stock orders submitted on a not-held basis for the prior six months. Note: You may not be eligible to receive this report based on specific criteria noted in the text of the rule.

Full rule text: <https://www.ecfr.gov/current/title-17/chapter-II/part-242/subject-group-ECFRac68bdd026a46db/section-242.606>

Requests may be submitted to complianceofficers@allianceg.com or via your Registered Representative.

SIPC Information

As a member of the Securities Investor Protection Corporation (SIPC), funds are available to meet customer claims up to a ceiling of \$500,000, including a maximum of \$250,000 for cash claims. For additional information regarding SIPC coverage, including a brochure, please contact SIPC at 202-371-8300 or visit www.sipc.org.

FINRA BrokerCheck Hotline

The Financial Industry Regulatory Authority, Inc. (FINRA) offers investors information and education through the FINRA BrokerCheck Hotline at **800-289-9999** and on the FINRA website at <https://brokercheck.finra.org/>. Available resources include an investor brochure with information describing FINRA BrokerCheck.

Additional Resources

Business Continuity Plan

The A.G.P. / Alliance Global Partners Business Continuity Plan summary and disclosure statement is available at:

<https://allianceg.com/wp-content/uploads/2023/03/BusinessContinuityPlan-SummaryandDisclosureStatement-2.2023.pdf>

Privacy Policy

The A.G.P. / Alliance Global Partners Privacy Policy is available at:

<https://allianceg.com/privacy/>