

The Wealth Alliance, LLC

Client Relationship Summary (Form CRS/ADV Part 3)

April 29, 2026

The Wealth Alliance, LLC (“WA”) is an investment adviser registered with the U.S. Securities and Exchange Commission (“SEC”). The services and fees for investment advisory services differ from brokerage services and fees, and it is important for retail investors to understand the differences. Free and simple tools to research firms and individual financial professionals are available at <https://www.investor.gov/crs>, which also provides educational materials about broker-dealers, investment advisers, and investing.

What Investment Services and Advice Can You Provide Me?

WA provides ongoing investment management and financial planning services to retail investors. Our services are delivered primarily through a wrap fee program in which most transactions costs are bundled into a single advisory fee. We work with you to understand your financial goals, risk tolerance, and overall financial situation to develop a personalized investment strategy. Financial planning services – including retirement planning, cash flow analysis, tax considerations, estate planning coordination, and education funding – may be provided on a standalone or bundled basis.

Accounts and Investments: We serve individual, joint, retirement, trust, estate, and corporate accounts. Portfolios are typically constructed using mutual funds, exchange-traded funds (ETFs), individual stocks and bonds, independent investment managers, and alternative investments. We do not offer or recommend proprietary products.

Monitoring. We monitor accounts on an ongoing basis and will generally meet with you at least annually, or more frequently based on your circumstances.

Investment Authority: We generally manage accounts on a discretionary basis, meaning we make investment decisions on your behalf without requiring your approval for each transaction, consistent with your agreed-upon investment and financial objectives. We also manage accounts on a non-discretionary basis where we will ask for your consent or approval prior to trades being placed. Our advisory relationship remains in effect until either party terminates it in writing.

Account Minimums: There is no minimum account size required to open or maintain an advisory relationship with us.

Additional details about our services are available in Items 4, 7, and 13 of our Form ADV Part 2A, available on the IAPD website: [Investment Adviser Public Disclosure Page](#).

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

What fees will I pay?

Asset-Based Fees: Our asset-based fees for investment management range from 0.25% up to 1.75% annually. This fee is collected quarterly as a percentage of the cash and investments in the account(s) that we manage. Because our fee increases with account value, we have a financial incentive to encourage you to place more assets in your advisory account. Asset-based fees in our wrap fee program include most securities transaction costs and broker-dealer or bank custody fees; you may also incur certain additional third-party fees.

Hourly Fees: Financial planning services may be charged at an hourly rate of up to \$500 per hour, collected in two installments. Hourly fees are negotiable based on the nature and complexity of the services and the overall relationship. We provide an estimate for total hours and overall costs prior to engaging us for these services.

Fixed Fees: Financial planning may also be structured as a fixed project-based fee, calculated at our hourly rate based on the expected hours to complete the engagement. Fixed fees are negotiable and are subject to the same estimate and two-installment process described above. Fixed fees are separate from asset-based advisory fees.

Other Fees & Costs: In addition to our fees, you may incur fees charged by third parties, such as independent investment managers, custodians, or fund-level expenses associated with mutual funds, alternative investments, and ETFs.

Important to Know: *You pay fees whether your investments gain or lose value. Over time, fees and costs will reduce your overall investment returns.* Details about our fees are available in Item 5 of our Form ADV Part 2A, available on the IAPD website: [Investment Adviser Public Disclosure Page](#).

Conversation Starters: Help me understand how these fees and costs might affect my investments. If I give you \$10,000 to invest, how much will go to fees and costs, and how much will be invested for me?

What are your legal obligations to me when acting as my investment adviser? How else does your firm make money and what conflicts of interest do you have?

When we act as your investment adviser, we must act in your best interest and not put our interest ahead of yours. This includes a duty of care and a duty of loyalty. At the same time, the way we make money can create conflicts of interest, so we will disclose conflicts and, when applicable, take steps to address them.

Broker-Dealer Affiliations. Some of our financial professionals are registered representatives of Purshe Kaplan Sterling Investments, Inc. ("PKS"), a registered broker-dealer. In this separate role, they may earn commissions for brokerage transactions executed through PKS, which are paid separately from advisory fees. This creates an incentive to recommend PKS brokerage services even when lower-cost alternatives may be available. We address this conflict through disclosure and our obligation to act in your best interest. See Items 10 and 12 of our Form ADV Part 2A for additional details.

Wrap Fee Program. We sponsor a wrap fee program bundling most transaction cost into a single advisory fee. This creates an incentive to limit trading or keep you in the wrap program even if a non-wrap arrangement would cost you less. We address this conflict through disclosure and our duty to act in your best interest. **More Information:** See Items 10, 12, and 14 of our Form ADV Part 2A for additional details.

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

How do your financial professionals make money?

Financial professionals are compensated through an agreed-upon annual salary and an annual discretionary bonus. Some of our financial professionals are compensated based on the revenue generated from advisory services, measured by the amount of client assets they serve. This structure creates an incentive to increase assets under management or solicit new business, which may take time away from the day-to-day client services.

Do You or Your Financial Professionals Have Legal or Disciplinary History?

No. Neither our firm nor our financial professionals have any reportable disciplinary history. You can learn more about our financial professionals by visiting Investor.gov/CRS which provides free information about investment advisers and their financial professionals.

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

Where Can I Get More Information?

Visit <https://thewealthalliance.com/> where you may view a copy of this Client Relationship Summary, our Form ADV 2A, Appendix 1, Wrap Fee Brochure and Privacy Notice. You may also contact us at (631) 670-0682 or email us at compliance@thewealthallianc.com to request copies of these documents be provided to you via mail or e-mail.

Conversation Starters: Who is my primary contact person? Is he or she a representative of an investment advisor? Who can I talk to if I have concerns about how this person is treating me?