

BrokerCheck Report

ALLIANT EQUITY INVESTMENTS, LLC

CRD# 104386

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About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:

- o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
- o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)



ALLIANT EQUITY INVESTMENTS, LLC

CRD# 104386

SEC# 8-52849

Main Office Location

21600 OXNARD STREET - SUITE 1200
WOODLAND HILLS, CA 91367
Regulated by FINRA Los Angeles Office

Mailing Address

21600 OXNARD STREET-SUITE 1200
WOODLAND HILLS, CA 91367

Business Telephone Number

818 668-6800

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in California on 07/28/2000.

Its fiscal year ends in September.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 37 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 2 types of businesses.

This firm is not affiliated with any financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in California on 07/28/2000.

Its fiscal year ends in September.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

ALLIANT EQUITY INVESMTENTS, LLC

Doing business as ALLIANT EQUITY INVESTMENTS, LLC

CRD# 104386

SEC# 8-52849

Main Office Location

21600 OXNARD STREET - SUITE 1200
WOODLAND HILLS, CA 91367

Regulated by FINRA Los Angeles Office

Mailing Address

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Business Telephone Number

818 668-6800



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	ALLIANT ASSET MANAGEMENT CO. LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SHAREHOLDER
Position Start Date	07/2000
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	MCQUEEN, KATHLEEN ANNE 3086688
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO
Position Start Date	04/2020
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	O'KEEFE, TRACIE ERIN 5924814
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	04/2020

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No



Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any):	HORWITZ, SHAWN DANIEL
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	ALLIANT ASSET MANAGEMENT COMPANY, LLC
Relationship to Direct Owner	PARTNER
Relationship Established	09/1997
Percentage of Ownership	50% but less than 75%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	KOTLICK, SCOTT LEWIS
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	ALLIANT ASSET MANAGEMENT COMPANY, LLC
Relationship to Direct Owner	PARTNER
Relationship Established	09/1997
Percentage of Ownership	50% but less than 75%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 37 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	02/22/2001

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	02/22/2001



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alaska	Approved	01/15/2020
Arizona	Approved	12/20/2017
Arkansas	Approved	03/30/2018
California	Approved	05/14/2001
Connecticut	Approved	03/02/2011
Delaware	Approved	01/11/2006
Florida	Approved	01/09/2017
Georgia	Approved	08/23/2002
Idaho	Approved	01/03/2020
Illinois	Limited	04/10/2007
Indiana	Termination Requested	12/31/2020
Iowa	Approved	02/16/2011
Louisiana	Approved	08/24/2006
Massachusetts	Approved	06/27/2012
Michigan	Approved	08/22/2002
Minnesota	Approved	06/26/2015
Mississippi	Approved	12/09/2005
Missouri	Approved	06/05/2018
Montana	Approved	01/21/2020
Nevada	Approved	08/14/2002
New Jersey	Approved	10/23/2007
New York	Approved	08/24/2002
North Carolina	Approved	08/23/2018
Ohio	Approved	01/13/2006
Oklahoma	Approved	08/28/2018
Oregon	Approved	02/09/2011
Pennsylvania	Approved	12/13/2016
Rhode Island	Approved	01/29/2020
South Carolina	Approved	11/06/2018
South Dakota	Approved	01/08/2020
Texas	Limited	08/28/2008
Utah	Approved	06/12/2008
Virgin Islands	Approved	03/23/2020

U.S. States & Territories	Status	Date Effective
Virginia	Approved	02/22/2006
Washington	Termination Requested	12/31/2020
Wisconsin	Approved	01/31/2012
Wyoming	Termination Requested	12/31/2020

Firm Operations



Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 2 types of businesses.

Types of Business

Real estate syndicator

Private placements of securities

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



This firm does have books or records maintained by a third party.

Name: BARRACUDA NETWORKS, INC.
Business Address: 3175 S. WINCHESTER BLVD.
CAMPBELL, CA 95008
Effective Date: 01/26/2016
Description: CLOUD EMAIL ARCHIVING

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is not, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

End of Report



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