

# **SummitAlliance Securities, LLC**

## **Securities Investor Protection Corporation (SIPC)**

SIPC is an important part of the overall system of investor protection in the United States. While a number of federal, self-regulatory and state securities agencies deal with cases of investment fraud, SIPC's focus is both different and narrow: Restoring funds to investors with assets in the hands of bankrupt and otherwise financially troubled brokerage firms. The Securities Investor Protection Corporation was not chartered by Congress to combat fraud.

When a brokerage firm is closed due to bankruptcy or other financial difficulties and customer assets are missing, SIPC steps in as quickly as possible and, within certain limits, works to return customers' cash, stock and other securities. Without SIPC, investors at financially troubled brokerage firms might lose their securities or money forever or wait for years while their assets are tied up in court. Although not every investor is protected by SIPC, no fewer than 99 percent of persons who are eligible get their investments back from SIPC.

You may obtain information about SIPC, including the SIPC brochure, by contacting SIPC. SIPC's web site address is [www.sipc.org](http://www.sipc.org) and their telephone number is 202-371-8300.