



Ally Invest Advisors

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Charlotte, North Carolina 28202
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<https://www.ally.com/invest/personal-advice/>

Brochure Supplement
Form ADV Part 2B

March 2025

This brochure supplement provides information about the following supervised persons of Ally Invest Advisors ("AIA"): Deryck I. Gryne, Frank Newman, Lansen Dimitri Pan, Jr., Paula Parrish, Brandon Shephard, and JR Williams. This document supplements the AIA brochure. You should have received a copy of that brochure. Please contact AIA at (877) 286-2559 or support@invest.ally.com if you did not receive AIA's brochure or if you have any questions about the contents of this supplement.

Additional information about the supervised persons described in this brochure supplement is available on the SEC's website at www.adviserinfo.sec.gov.

Deryck I. Gryne

Year of Birth

1969

Formal Education after High School

Bachelor's Degree, University of Windsor, 2000

Business Background for the Previous Five Years

- Senior Financial Advisor, Ally Invest Advisors, 2022–Present
- Financial Advisor, Regions Bank, 2019–2022
- Wealth Management Advisor, TIAA-CREF, 2016–2019

Professional Designations

- Certified Retirement Counselor® (CRC®)

Please see the “Professional Designations” section at the end of this brochure supplement for more information.

Disciplinary Information

None

Other Business Activities

Mr. Gryne is registered with Ally Invest Securities, an AIA affiliate. Ally Invest Securities serves as broker-dealer of record on all AIA accounts. AIA has reviewed Mr. Gryne's relationship with Ally Invest Securities and determined that it does not present a material conflict of interest with AIA or AIA clients.

Additional Compensation

Mr. Gryne is eligible to receive incentive compensation in addition to his regular salary. AIA determines the amount of such incentive compensation based on several factors, including success at attracting new assets, client satisfaction, and other key behaviors.

Supervision

AIA has established and maintains policies and procedures reasonably designed to prevent violation of the Investment Advisers Act of 1940 and related regulations, including procedures to supervise the activities of its personnel. Among other things, AIA reviews telephone call recordings and emails of its supervised persons and requires them to complete regular compliance training and attestations. Ray Lancaster, Manager, is responsible for supervising Mr. Gryne's activities and may be reached at (704) 644-6216.

Frank Newman

Year of Birth

1985

Formal Education after High School

Bachelor of Science, Business Administration, William Paterson University, 2008

Business Background for the Previous Five Years

- Director, Portfolio Management for Ally Invest Advisors, 2021–Present
- Manager, Portfolio Construction for TD Ameritrade, 2016–2021

Professional Designations

- Chartered Financial Analyst® (CFA®)

Please see the “Professional Designations” section at the end of this brochure supplement for more information.

Disciplinary Information

None

Other Business Activities

None.

Additional Compensation

None

Supervision

AIA has established and maintains policies and procedures reasonably designed to prevent violation of the Investment Advisers Act of 1940 and related regulations, including procedures to supervise the activities of its personnel. Among other things, AIA reviews telephone call recordings and emails of its supervised persons and requires them to complete regular compliance training and attestations. Mitesh Patel, Head of Advisory, is responsible for supervising Mr. Newman’s activities and may be reached at (980) 270-4206.

Lansen “Dimitri” Pan, Jr.

Year of Birth

1989

Formal Education after High School

Bachelor of Science, Resource Economics, University of Connecticut, 2011

Business Background for the Previous Five Years

- Senior Financial Advisor, Ally Invest Advisors, 2021–Present
- Senior Financial Advisor, The Vanguard Group, Inc., 2014–2021

Professional Designations

- Certified Financial Planner® (CFP®)

Please see the “Professional Designations” section at the end of this brochure supplement for more information.

Disciplinary Information

None

Other Business Activities

Mr. Pan is registered with Ally Invest Securities, an AIA affiliate. Ally Invest Securities serves as broker-dealer of record on all AIA accounts. AIA has reviewed Mr. Pan’s relationship with Ally Invest Securities and determined that it does not present a material conflict of interest with AIA or AIA clients.

Additional Compensation

Mr. Pan is eligible to receive incentive compensation in addition to his regular salary. AIA determines the amount of such incentive compensation based on several factors, including success at attracting new assets, client satisfaction, and other key behaviors.

Supervision

AIA has established and maintains policies and procedures reasonably designed to prevent violation of the Investment Advisers Act of 1940 and related regulations, including procedures to supervise the activities of its personnel. Among other things, AIA reviews telephone call recordings and emails of its supervised persons and requires them to complete regular compliance training and attestations. Ray Lancaster, Manager, is responsible for supervising Mr. Pan’s activities and may be reached at (704) 644-6216.

Paula Parrish

Year of Birth

1960

Formal Education after High School

- Master of Finance degree, Suffolk University, 1996
- Bachelor of Business degree, Southern New Hampshire University, 1993

Business Background for the Previous Five Years

- Senior Financial Advisor, Ally Invest Advisors, 2021–Present
- Senior Vice President, Clarfled Citizens Private Wealth, 2018–2021

Professional Designations

- Certified Financial Planner® (CFP®)
- Certified Divorce Financial Analyst (CDFA®)

Please see the “Professional Designations” section at the end of this brochure supplement for more information.

Disciplinary Information

None

Other Business Activities

Ms. Parrish is registered with Ally Invest Securities, an AIA affiliate. Ally Invest Securities serves as broker-dealer of record on all AIA accounts. AIA has reviewed Ms. Parrish’s relationship with Ally Invest Securities and determined that it does not present a material conflict of interest with AIA or AIA clients.

Additional Compensation

Ms. Parrish is eligible to receive incentive compensation in addition to her regular salary. AIA determines the amount of such incentive compensation based on several factors, including success at attracting new assets, client satisfaction, and other key behaviors.

Supervision

AIA has established and maintains policies and procedures reasonably designed to prevent violation of the Investment Advisers Act of 1940 and related regulations, including procedures to supervise the activities of its personnel. Among other things, AIA reviews telephone call recordings and emails of its supervised persons and requires them to complete regular compliance training and attestations. Ray Lancaster, Manager, is responsible for supervising Ms. Parrish’s activities and may be reached at (704) 644-6216.

Brandon Shephard

Year of Birth

1987

Formal Education after High School

Bachelor of Business Administration, Marketing, University of South Carolina Aiken, 2011

Business Background for the Previous Five Years

- Senior Financial Advisor, Ally Invest Advisors, 2021–Present
- Investment Advisory Consultant, TIAA, 2020–2021
- Senior Financial Consultant, TIAA, 2018–2020

Disciplinary Information

None

Other Business Activities

Mr. Shephard is registered with Ally Invest Securities, an AIA affiliate. Ally Invest Securities serves as broker-dealer of record on all AIA accounts. AIA has reviewed Mr. Shephard's relationship with Ally Invest Securities and determined that it does not present a material conflict of interest with AIA or AIA clients.

Additional Compensation

Mr. Shephard is eligible to receive incentive compensation in addition to his regular salary. AIA determines the amount of such incentive compensation based on several factors, including success at attracting new assets, client satisfaction, and other key behaviors.

Supervision

AIA has established and maintains policies and procedures reasonably designed to prevent violation of the Investment Advisers Act of 1940 and related regulations, including procedures to supervise the activities of its personnel. Among other things, AIA reviews telephone call recordings and emails of its supervised persons and requires them to complete regular compliance training and attestations. Ray Lancaster, Manager, is responsible for supervising Mr. Shephard's activities and may be reached at (704) 644-6216.

JR Williams

Year of Birth:

1979

Formal Education after High School:

- Master of Business Administration, Fuqua School of Business at Duke University, 2009
- Bachelor of Arts, Economics, The University of North Carolina at Chapel Hill, 2001
- Bachelor of Arts, Psychology, The University of North Carolina at Chapel Hill, 2001

Business Background for the Previous Five Years:

- Senior Director Personal Advice, Ally Invest Advisors, 2023–Present
- Executive Director, Sub-Complex Manager, Morgan Stanley, 2020–2023
- Senior Vice President, Head of Strategic Relations, LPL Financial, 2015–2020

Professional Designations

- Certified Financial Planner® (CFP®)

Please see the “Professional Designations” section at the end of this brochure supplement for more information.

Disciplinary Information:

None

Other Business Activities:

Mr. Williams is registered with Ally Invest Securities, an AIA affiliate. Ally Invest Securities serves as broker-dealer of record on all AIA accounts. AIA has reviewed Mr. Williams’ relationship with Ally Invest Securities and determined that it does not present a material conflict of interest with AIA or AIA clients.

Additional Compensation:

None

Supervision

AIA has established and maintains policies and procedures reasonably designed to prevent violation of the Investment Advisers Act of 1940 and related regulations, including procedures to supervise the activities of its personnel. Among other things, AIA reviews telephone call recordings and emails of its supervised persons and requires them to complete regular compliance training and attestations. Mitesh Patel, Head of Advisory, is responsible for supervising Mr. Williams’ activities and may be reached at (980) 270-4206.

Professional Designations

Chartered Financial Analyst® (CFA®)

The Chartered Financial Analyst designation is bestowed by the CFA Institute. To become a CFA Charterholder, candidates must pass three examinations demonstrating their competence, integrity, and extensive knowledge in accounting, ethical and professional standards, economics, portfolio management, and security analysis. They must also have at least 4,000 hours of qualifying work experience completed in a minimum of 36 months, among other requirements.

Certified Divorce Financial Analyst (CDFA®)

The CDFA is a professional designation awarded by the Institute for Divorce Financial Analysts. To obtain the CDFA designation, candidates must pass a comprehensive exam that tests their knowledge and ability to apply financial planning principles to divorce cases. Candidates must have a bachelor's degree with three years of on-the job experience or, if no bachelor's degree, five years of relevant experience. CDFA professionals must adhere to a strict code of ethics and professional responsibility, which sets forth their ethical responsibilities to the public, clients, employers, and other professionals. To maintain the CDFA designation, professionals must complete 30 hours of divorce-related continuing education every two years.

Certified Financial Planner® (CFP®)

The Certified Financial Planner certification, which is also referred to as a CFP certification, is bestowed by the Certified Financial Planner Board of Standards Inc. ("CFP Board"). To obtain the CFP certification, candidates must pass the comprehensive CFP Certification Examination, pass the CFP Board's fitness standards for candidates and registrants, agree to abide by the CFP Board's Code of Ethics and Professional Responsibility, and have at least three (3) years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year qualifying work experience, among other requirements). The CFP Board owns the certification marks CFP and Certified Financial Planner in the United States.

Certified Retirement Counselor® (CRC®)

The CRC program is administered by the International Foundation for Retirement Education. To qualify for this designation, candidates must have completed a bachelor's degree with two years relevant professional experience within the past five years or a high school diploma or equivalent with five years relevant professional experience within the past seven years. Candidates must also pass the certification exam. In addition, candidates must complete 15 hours of continuing education per year.