

*This brochure supplement provides information about Allyson M. Saldana that supplements the AMS Capital Management LLC brochure. You should have received a copy of that brochure. Please contact Allyson M. Saldana, Managing Member if you did not receive AMS Capital Management LLC's brochure or if you have any questions about the contents of this supplement.*

*Additional information about Allyson M. Saldana is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

# **AMS Capital Management LLC**

## **Form ADV Part 2B – Individual Disclosure Brochure**

*for*

**Allyson M. Saldana**

Personal CRD Number: 2548714

Investment Adviser Representative

AMS Capital Management LLC  
1730 South El Camino Real, Suite 440  
San Mateo, California, 94402  
(650) 344-1160  
[www.amscapitalmanagement.com](http://www.amscapitalmanagement.com)  
[asaldana@amscapitalm.com](mailto:asaldana@amscapitalm.com)

UPDATED: 4/20/2015

## Item 2: Educational Background and Business Experience

**Name:** Allyson M. Saldana

**Born:** 1962

### Education Background and Professional Designations:

#### Education:

Studied Psychology with a Minor in Biology at Pepperdine University from September 1979 through May 1982

#### Business Background:

2010 - Present	Managing Member AMS Capital Management LLC
2007 - Present	Independent Insurance Agent
2009 - 2009	Registered Representative Investment Centers of America
2008 - 2009	Registered Representative BrokersXpress LLC
2006 - 2007	Unemployed
2001 - 2006	Senior Financial Executive Citicorp Investment Services

## Item 3: Disciplinary Information

In 2009 Allyson Saldana received a 30 day suspension from association with any FINRA member in any capacity and a fine. This suspension was due to violation of the FINRA rule requiring a member to observe high standards of commercial honor and just and equitable principles of trade.

#### **Item 4: Other Business Activities**

Allyson M. Saldana is a licensed insurance agent. From time to time, she will offer clients advice or products from those activities. Clients should be aware that these services pay a commission and involve a possible conflict of interest, as commissionable products can conflict with the fiduciary duties of a registered investment adviser. AMS always acts in the best interest of the client; including the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any representative of AMS in their capacity as an insurance agent.

#### **Item 5: Additional Compensation**

Other than salary, annual bonuses, regular bonuses, Allyson M. Saldana does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through AMS Capital Management LLC.

#### **Item 6: Supervision**

As the only owner and representative of AMS Capital Management LLC, Allyson M. Saldana supervises all duties and activities. Allyson M. Saldana's contact information is on the cover page of this disclosure document.

#### **Item 7: Requirements For State Registered Advisers**

*This disclosure is required by California securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

- A. Allyson M. Saldana has **NOT** been involved in any of the events listed below.
1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
    - a) an investment or an investment-related business or activity;
    - b) fraud, false statement(s), or omissions;
    - c) theft, embezzlement, or other wrongful taking of property;
    - d) bribery, forgery, counterfeiting, or extortion; or
    - e) dishonest, unfair, or unethical practices.

2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
    - a) an investment or an investment-related business or activity;
    - b) fraud, false statement(s), or omissions;
    - c) theft, embezzlement, or other wrongful taking of property;
    - d) bribery, forgery, counterfeiting, or extortion; or
    - e) dishonest, unfair, or unethical practices.
- B. Allyson M. Saldana has NOT been the subject of a bankruptcy petition at any time.