

Robert D. Fraim  
2217 Crystal Spring Avenue SW  
Roanoke, VA 24014  
(540) 344-4422

Mid-Atlantic Securities, Inc.  
4001 Barrett Drive, Suite 100  
Raleigh, NC 27609  
Phone: (919) 783-7787  
Toll Free: (800) 279-7787  
Email: [headquarters@masecurities.com](mailto:headquarters@masecurities.com)

July 31, 2011

This brochure supplement provides information about Robert D. Fraim that supplements the Mid-Atlantic Securities, Inc. ("MAS") brochure. You should have received a copy of that brochure. Please contact Buffa Powell at (919) 783-7787 if you did not receive the MAS brochure or if you have any questions about the contents of this supplement.

Additional information about Mr. Fraim is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 - Educational Background and Business Experience

Robert D. Fraim, b. 1957

### Educational Background

Mr. Fraim has no formal education after high school.

### Business Experience

<b>Firm</b>	<b>Position</b>	<b>Dates</b>
Mid-Atlantic Securities, Inc.	Investment Advisor	7/1991-Present
Robert Thomas Securities, Inc.	Registered Representative	7/1990-7/1991
Branch, Cabell and Company	Registered Representative	9/1988-7/1990

## Item 3 - Disciplinary Information

Investment Advisor Representatives are required to disclose all material facts regarding any legal and disciplinary events would be material to your evaluation of the representative. Mr. Fraim has no information applicable to this Item.

## Item 4 - Other Business Activities

Mr. Fraim is a Registered Representative of Mid-Atlantic Securities, Inc., a dually registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment

products and trails received from the sale of mutual funds. Mr. Fraim is also licensed to sell variable annuities and life insurance. He spends up to 60% of his time on these activities.

This may pose a conflict of interest to the extent that he has a financial incentive to recommend securities and other investments that may result in commissions, brokerage fees, 12b-1 fees or other payments. However, Mr. Fraim is constrained by fiduciary principles to act in your best interest. In addition, you are under no obligation to purchase any recommended insurance products.

### **Item 5 - Additional Compensation**

Mr. Fraim does not receive compensation for advisory services other than fees paid by the client.

### **Item 6 - Supervision**

Mr. Fraim is supervised by Buffa Powell, Chief Compliance Officer. Buffa Powell can be reached at (919) 783-7787.

Mr. Fraim is required to adhere to Mid-Atlantic Securities' processes and procedures as described in our Code of Ethics. We will monitor the advice that Mr. Fraim gives you by reviewing the relevant account opening documentation when the relationship is established and reviewing client correspondence periodically. In addition, Mr. Fraim performs periodic reviews of your account activity. Following these reviews, reports are prepared to assist principals in supervising and monitoring the accounts to ensure that trading activity is in line with your stated objectives. Factors that are considered include, but are not limited to the following: investment objectives, targeted allocation, current allocation, suitability, performance, number of trades, monthly distributions, concentrated positions, diversification, and outside holdings.

Richard T. Harrington  
763 Madison Road, Suite 203  
Culpeper, VA 22701  
(540) 829-6134

Mid-Atlantic Securities, Inc.  
4001 Barrett Drive, Suite 100  
Raleigh, NC 27609  
Phone: (919) 783-7787  
Toll Free: (800) 279-7787  
Email: [headquarters@masecurities.com](mailto:headquarters@masecurities.com)

July 31, 2011

**This brochure supplement provides information about Richard T. Harrington that supplements the Mid-Atlantic Securities, Inc. ("MAS") brochure. You should have received a copy of that brochure. Please contact Buffa Powell at (919) 783-7787 if you did not receive the MAS brochure or if you have any questions about the contents of this supplement.**

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

## **Item 2 - Educational Background and Business Experience**

Richard T. Harrington, b. 1967

### Educational Background

Randolph-Macon College - BA, Business/Economics  
Graduate of the University of Virginia School of Bank Management  
Virginia Commonwealth University School of Financial Planning – CFP®

The Certified Financial Planner™ (CFP®) designation is issued by the Certified Financial Planner Board of Standards, Inc after candidates pass the CFP Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances. Certified individuals are required to complete 30 hours of continuing education every two years, including two hours on the Code of Ethics and other parts of the Standard of Professional Conduct. Currently, as a prerequisite to sitting for the CFP Certification Examination, candidates must hold a bachelor's degree (or higher) from an accredited college or university and have at least 3 years of full time personal financial planning experience. In addition, candidates must complete a CFP-board registered program or hold one of the following: CPA, ChFC, CLU, CFA, Ph.D. in business or economics, Doctor of Business Administration, Attorney's License.

### Business Experience

<b>Firm</b>	<b>Position</b>	<b>Dates</b>
Mid-Atlantic Securities, Inc.	Financial Advisor	4/2008-Present
Raymond James Financial Services, Inc.	Financial Advisor	11/2000-4/2008
Virginia Commonwealth Trust Co.	Vice President	11/2000-4/2008

### **Item 3 - Disciplinary Information**

Investment Advisor Representatives are required to disclose all material facts regarding any legal and disciplinary events would be material to your evaluation of the representative. Rich Harrington has no information applicable to this Item.

### **Item 4 - Other Business Activities**

Rich Harrington is a Registered Representative of Mid-Atlantic Securities, Inc., a dually registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. Rich Harrington is also licensed to sell variable annuities and life insurance.

This may pose a conflict of interest to the extent that he has a financial incentive to recommend securities and other investments that may result in commissions, brokerage fees, 12b-1 fees or other payments. However, Rich Harrington is constrained by fiduciary principles to act in your best interest. In addition, you are under no obligation to purchase any recommended insurance products.

### **Item 5 - Additional Compensation**

Rich Harrington does not receive compensation for advisory services other than fees paid by the client.

### **Item 6 - Supervision**

Rich Harrington is supervised by Buffa Powell, Chief Compliance Officer. Buffa Powell can be reached at (919) 783-7787.

Rich Harrington is required to adhere to Mid-Atlantic Securities' processes and procedures as described in our Code of Ethics. We will monitor the advice that Rich Harrington gives you by reviewing the relevant account opening documentation when the relationship is established and reviewing client correspondence periodically. In addition, Rich Harrington performs periodic reviews of your account activity. Following these reviews, reports are prepared to assist principals in supervising and monitoring the accounts to ensure that trading activity is in line with your stated objectives. Factors that are considered include, but are not limited to the following: investment objectives, targeted allocation, current allocation, suitability, performance, number of trades, monthly distributions, concentrated positions, diversification, and outside holdings.

Mark A. Holthaus  
6609 Main Street  
P.O. Box 97  
Gloucester, VA 23061  
Office: (804) 824-9745  
Toll-Free: (877) 647-5697  
Fax: (804) 694-3174

Mid-Atlantic Securities, Inc.  
4001 Barrett Drive, Suite 100  
Raleigh, NC 27609  
Phone: (919) 783-7787  
Toll Free: (800) 279-7787  
Email: [headquarters@masecurities.com](mailto:headquarters@masecurities.com)

July 31, 2011

**This brochure supplement provides information about Mark A. Holthaus that supplements the Mid-Atlantic Securities, Inc. ("MAS") brochure. You should have received a copy of that brochure. Please contact Buffa Powell at (919) 783-7787 if you did not receive the MAS brochure or if you have any questions about the contents of this supplement.**

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

## **Item 2 - Educational Background and Business Experience**

Mark A. Holthaus, b. 1959

### Educational Background

Indiana University · Bloomington, IN · BA, Mass Communications Policy & Management

The College of William & Mary · Williamsburg, VA · MBA

The Open University (Milton Keynes, England and Paris France) · Certificate in Management (no degree)

Fuller Theological Seminary · Pasadena, CA · graduate studies in Anthropology and Communications

College for Financial Planning/A.G. Edwards & Sons · Accredited Asset Management Specialist (AAMS)

The Accredited Asset Management Specialist<sup>SM</sup> (AAMS<sup>®</sup>) designation is issued by the College for Financial Planning<sup>®</sup> to students who successfully complete the program, pass the final examination and comply with the Code of Ethics. The curriculum is based on a client-centered, problem-solving method that uses case studies to give students a hands-on approach to the material. Topics covered include: The Asset Management Process; Investors, Policy & Change; Risk, Return & Investment Performance; Asset Allocation & Selection; Investment Strategies; Taxation of Investment Products; Investment

Opportunities for an Individual's Retirement; Investment Considerations for Small-Business Owners; Deferred Compensation & Other Benefit Plans for Key Executives; Insurance Products for Investment Clients; Estate Planning for Investment Clients; and Regulatory & Ethical Issues for the Investment Professional. Certified individuals are required to complete 16 hours of continuing education every two years.

#### Business Experience

<b>Firm</b>	<b>Position</b>	<b>Dates</b>
Mid-Atlantic Securities, Inc.	Investment Advisor	4/2009-Present
Wachovia Securities, LLC (AG Edwards)	Financial Consultant	11/2004-1/2008

### **Item 3 - Disciplinary Information**

Investment Advisor Representatives are required to disclose all material facts regarding any legal and disciplinary events would be material to your evaluation of the representative. Mr. Holthaus has no information applicable to this Item.

### **Item 4 - Other Business Activities**

Mr. Holthaus is a Registered Representative of Mid-Atlantic Securities, Inc., a dually registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. Mr. Holthaus is also licensed to sell variable annuities and life insurance. He spends up to 70% of his time on these activities.

This may pose a conflict of interest to the extent that he has a financial incentive to recommend securities and other investments that may result in commissions, brokerage fees, 12b-1 fees or other payments. However, Mr. Holthaus is constrained by fiduciary principles to act in your best interest. In addition, you are under no obligation to purchase any recommended insurance products.

### **Item 5 - Additional Compensation**

Mr. Holthaus does not receive compensation for advisory services other than fees paid by the client.

### **Item 6 - Supervision**

Mr. Holthaus is supervised by Buffa Powell, Chief Compliance Officer. Buffa Powell can be reached at (919) 783-7787.

Mr. Holthaus is required to adhere to Mid-Atlantic Securities' processes and procedures as described in our Code of Ethics. We will monitor the advice that Mr. Holthaus gives you by reviewing the relevant account opening documentation when the relationship is established and reviewing client correspondence periodically. In addition, Mr. Holthaus performs periodic reviews of your account activity. Following these reviews, reports are prepared to assist principals in supervising and monitoring the accounts to ensure that trading activity is in line with your stated objectives. Factors that are considered include, but are not limited to the following: investment objectives, targeted allocation, current allocation, suitability, performance, number of trades, monthly distributions, concentrated positions, diversification, and outside holdings.

Charles E. Hunter, III  
2217 Crystal Spring Avenue  
Roanoke, VA 24014  
(540) 344-4422

Mid-Atlantic Securities, Inc.  
4001 Barrett Drive, Suite 100  
Raleigh, NC 27609  
Phone: (919) 783-7787  
Toll Free: (800) 279-7787  
Email: [headquarters@masecurities.com](mailto:headquarters@masecurities.com)

July 31, 2011

This brochure supplement provides information about Charles E. Hunter, III that supplements the Mid-Atlantic Securities, Inc. ("MAS") brochure. You should have received a copy of that brochure. Please contact Buffa Powell at (919) 783-7787 if you did not receive the MAS brochure or if you have any questions about the contents of this supplement.

Additional information about Mr. Hunter is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 - Educational Background and Business Experience

Charles E. Hunter, III, b. 1953

### Educational Background

Hampden-Sydney College - BS, Economics

### Business Experience

Firm	Position	Dates
Mid-Atlantic Securities, Inc.	Investment Advisor	7/1991-Present

## Item 3 - Disciplinary Information

Investment Advisor Representatives are required to disclose all material facts regarding any legal and disciplinary events would be material to your evaluation of the representative. Mr. Hunter has no information applicable to this Item.

## Item 4 - Other Business Activities

Mr. Hunter is a Registered Representative of Mid-Atlantic Securities, Inc., a dually registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. Mr. Hunter is also licensed to sell variable annuities and life insurance.

This may pose a conflict of interest to the extent that he has a financial incentive to recommend securities and other investments that may result in commissions, brokerage fees, 12b-1 fees or other payments. However, Mr. Hunter is constrained by fiduciary principles to act in your best interest. In addition, you are under no obligation to purchase any recommended insurance products.

### **Item 5 - Additional Compensation**

Mr. Hunter does not receive compensation for advisory services other than fees paid by the client.

### **Item 6 - Supervision**

Mr. Hunter is supervised by Buffa Powell, Chief Compliance Officer. Buffa Powell can be reached at (919) 783-7787.

Mr. Hunter is required to adhere to Mid-Atlantic Securities' processes and procedures as described in our Code of Ethics. We will monitor the advice that Mr. Hunter gives you by reviewing the relevant account opening documentation when the relationship is established and reviewing client correspondence periodically. In addition, Mr. Hunter performs periodic reviews of your account activity. Following these reviews, reports are prepared to assist principals in supervising and monitoring the accounts to ensure that trading activity is in line with your stated objectives. Factors that are considered include, but are not limited to the following: investment objectives, targeted allocation, current allocation, suitability, performance, number of trades, monthly distributions, concentrated positions, diversification, and outside holdings.



John B. Miller  
2025 Woodbrook Court  
Charlottesville, VA 22901  
(434) 295-2091

Mid-Atlantic Securities, Inc.  
4001 Barrett Drive, Suite 100  
Raleigh, NC 27609  
Phone: (919) 783-7787  
Toll Free: (800) 279-7787  
Email: [headquarters@masecurities.com](mailto:headquarters@masecurities.com)

July 31, 2011

This brochure supplement provides information about John B. Miller that supplements the Mid-Atlantic Securities, Inc. ("MAS") brochure. You should have received a copy of that brochure. Please contact Buffa Powell at (919) 783-7787 if you did not receive the MAS brochure or if you have any questions about the contents of this supplement.

Additional information about Mr. Miller is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 - Educational Background and Business Experience

John B. Miller, b. 1957

### Educational Background

Sacred Heart University · Fairfield, CT · BS, Business

### Business Experience

Firm	Position	Dates
Mid-Atlantic Securities, Inc.	Financial Advisor	9/2002-Present
CBM Group	Principal	2/1995-Present

## Item 3 - Disciplinary Information

Investment Advisor Representatives are required to disclose all material facts regarding any legal and disciplinary events would be material to your evaluation of the representative. Mr. Miller has no information applicable to this Item.

## Item 4 - Other Business Activities

Mr. Miller is a Registered Representative of Mid-Atlantic Securities, Inc., a dually registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. Mr. Miller is also licensed to sell variable annuities and life insurance. He spends up to 95% of his time on these activities.

This may pose a conflict of interest to the extent that he has a financial incentive to recommend securities and other investments that may result in commissions, brokerage fees, 12b-1 fees or other payments. However, Mr. Miller is constrained by fiduciary principles to act in your best interest. In addition, you are under no obligation to purchase any recommended insurance products.

### **Item 5 - Additional Compensation**

Mr. Miller does not receive compensation for advisory services other than fees paid by the client.

### **Item 6 - Supervision**

Mr. Miller is supervised by Buffa Powell, Chief Compliance Officer. Buffa Powell can be reached at (919) 783-7787.

Mr. Miller is required to adhere to Mid-Atlantic Securities' processes and procedures as described in our Code of Ethics. We will monitor the advice that Mr. Miller gives you by reviewing the relevant account opening documentation when the relationship is established and reviewing client correspondence periodically. In addition, Mr. Miller performs periodic reviews of your account activity. Following these reviews, reports are prepared to assist principals in supervising and monitoring the accounts to ensure that trading activity is in line with your stated objectives. Factors that are considered include, but are not limited to the following: investment objectives, targeted allocation, current allocation, suitability, performance, number of trades, monthly distributions, concentrated positions, diversification, and outside holdings.

**Rosilyn H. Overton, Ph.D., CFP®, RFC®, CRPS**

25418 Northern Boulevard, Suite 5

Little Neck, NY 11362

(718) 631-4000

**Mid-Atlantic Securities, Inc.**

4001 Barrett Drive, Suite 100

Raleigh, NC 27609

Phone: (919) 783-7787

Toll Free: (800) 279-7787

Email: [headquarters@masecurities.com](mailto:headquarters@masecurities.com)

July 31, 2011

**This brochure supplement provides information about Rosilyn H. Overton, Ph.D., CFP®, RFC®, CRPS that supplements the Mid-Atlantic Securities, Inc. ("MAS") brochure. You should have received a copy of that brochure. Please contact Buffa Powell at (919) 783-7787 if you did not receive the MAS brochure or if you have any questions about the contents of this supplement.**

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

## **Item 2 - Educational Background and Business Experience**

Rosilyn H. Overton, Ph.D., CFP®, RFC®, CRPS, b. 1942

### Educational Background

Wright State University · Dayton, OH · BS, Mathematics and Computer Science

Wright State University · Dayton, OH · MS, Social and Applied Economics

New York University · New York, NY · graduate studies

College for Financial Planning · Denver, CO · CFP® Educational Program

College for Financial Planning · Denver, CO · CRPS®

AHIP · Washington, DC · Long Term Care Professional

Capella University · Minneapolis, MN · Ph.D., Organization & Management

The CERTIFIED FINANCIAL PLANNER™ (CFP®) designation is issued by the Certified Financial Planner Board of Standards, Inc after candidates pass the CFP Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances. Certified individuals are required to complete 30 hours of continuing education every two years, including two hours on the Code of Ethics and other parts of the Standard of Professional Conduct. Currently, as a prerequisite to sitting for the CFP Certification Examination, candidates must hold a bachelor's degree (or higher) from an accredited college or

university and have at least 3 years of full time personal financial planning experience. In addition, candidates must complete a CFP-board registered program or hold one of the following: CPA, ChFC, CLU, CFA, Ph.D. in business or economics, Doctor of Business Administration, Attorney's License.

Registered Financial Consultant (RFC®) is a professional designation awarded by the International Association of Registered Financial Consultants (IARFC). In order to qualify, individuals must have a minimum of four years of experience as a full-time practitioner in the field of financial planning or financial services and a baccalaureate or graduate degree in financial planning or services with strong emphasis on subjects relating to economic, accounting, business, statistics, finance, and similar studies; or have earned one of the following professional degrees or designation: AAMS, CFA, CFP®, ChFC, CLU, CPA, EA, JD, or completed an IARFC or CFP® approved curriculum at an accredited college or university. Applicants must subscribe and adhere to the RFC Code of Ethics and are required to complete 40 hours per year of Professional Continuing Education in the field of personal finance and professional practice management.

The Chartered Retirement Plans Specialist<sup>SM</sup> (CRPS®) designation is issued by the College for Financial Planning. Candidates must complete a program of study, successfully pass a final examination and comply with the Code of Ethics. The curriculum is based on a client-centered, problem-solving method that uses case studies to give students a hands-on approach to the material. The program focuses on design, installation, maintenance and administration of retirement plans. Certified individuals are required to complete 16 hours of continuing education every two years.

The Long Term Care Professional (LTCP) designation is issued by America's Health Insurance Plans (AHIP). The training covers the methods of financing long-term care needs, long-term care insurance products, and issues surrounding claims and administration.

#### Business Experience

<b>Firm</b>	<b>Position</b>	<b>Dates</b>
Mid-Atlantic Securities, Inc.	Financial Advisor	8/1997-Present

### **Item 3 - Disciplinary Information**

Investment Advisor Representatives are required to disclose all material facts regarding any legal and disciplinary events would be material to your evaluation of the representative. Dr. Overton has no information applicable to this Item.

### **Item 4 - Other Business Activities**

Dr. Overton is a Registered Representative of Mid-Atlantic Securities, Inc., a dually registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. Dr. Overton is also licensed to insurance products through R.H. Overton Company. She spends up to 40% of her time on these activities.

This may pose a conflict of interest to the extent that she has a financial incentive to recommend securities and other investments that may result in commissions, brokerage fees, 12b-1 fees or other payments. However, Dr. Overton is constrained by fiduciary principles to act in your best interest. In addition, you are under no obligation to purchase any recommended insurance products.

Dr. Overton is a tenured Associate Professor and Coordinator of the Finance graduate program at New Jersey City University and spends approximately 30% of her time on these activities.

### **Item 5 - Additional Compensation**

Dr. Overton does not receive compensation for advisory services other than fees paid by the client.

### **Item 6 - Supervision**

Dr. Overton is supervised by Buffa Powell, Chief Compliance Officer. Buffa Powell can be reached at (919) 783-7787.

Dr. Overton is required to adhere to Mid-Atlantic Securities' processes and procedures as described in our Code of Ethics. We will monitor the advice that Dr. Overton gives you by reviewing the relevant account opening documentation when the relationship is established and reviewing client correspondence periodically. In addition, Dr. Overton performs periodic reviews of your account activity. Following these reviews, reports are prepared to assist principals in supervising and monitoring the accounts to ensure that trading activity is in line with your stated objectives. Factors that are considered include, but are not limited to the following: investment objectives, targeted allocation, current allocation, suitability, performance, number of trades, monthly distributions, concentrated positions, diversification, and outside holdings.

Elizabeth T. Powell  
4001 Barrett Drive, Suite 100  
Raleigh, NC 27609  
(919) 783-7787

Mid-Atlantic Securities, Inc.  
4001 Barrett Drive, Suite 100  
Raleigh, NC 27609  
Phone: (919) 783-7787  
Toll Free: (800) 279-7787  
Email: [headquarters@masecurities.com](mailto:headquarters@masecurities.com)

July 31, 2011

This brochure supplement provides information about Elizabeth T. Powell that supplements the Mid-Atlantic Securities, Inc. ("MAS") brochure. You should have received a copy of that brochure. Please contact Buffa Powell at (919) 783-7787 if you did not receive the MAS brochure or if you have any questions about the contents of this supplement.

Additional information about Ms. Powell is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 - Educational Background and Business Experience

Elizabeth T. Powell, b. 1952

### Educational Background

University of North Carolina at Greensboro - BS, Clothing and Textile

### Business Experience

Firm	Position	Dates
Mid-Atlantic Securities, Inc.	Chief Compliance Officer	7/2000-Present

## Item 3 - Disciplinary Information

Investment Advisor Representatives are required to disclose all material facts regarding any legal and disciplinary events would be material to your evaluation of the representative. Ms. Powell has no information applicable to this Item.

## Item 4 - Other Business Activities

Ms. Powell is the Chief Compliance Officer of Mid-Atlantic Securities, Inc., a dually registered broker-dealer. The majority of her time is spent in this capacity. In addition, she may be compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds.

This may pose a conflict of interest to the extent that she has a financial incentive to recommend securities and other investments that may result in commissions, brokerage fees, 12b-1 fees or other payments. However, Ms. Powell is constrained by fiduciary principles to act in your best interest and commission based revenue is less than 1% of her income.

### **Item 5 - Additional Compensation**

Ms. Powell does not receive compensation for advisory services other than fees paid by the client.

### **Item 6 - Supervision**

Buffa Powell, Chief Compliance Officer, is responsible for the supervision of all advisory accounts. She can be reached at (919) 783-7787.

Ms. Powell is required to adhere to Mid-Atlantic Securities' processes and procedures as described in our Code of Ethics. We will monitor the advice that Ms. Powell gives you by reviewing the relevant account opening documentation when the relationship is established and reviewing client correspondence periodically. In addition, Ms. Powell performs periodic reviews of your account activity. Following these reviews, reports are prepared to assist principals in supervising and monitoring the accounts to ensure that trading activity is in line with your stated objectives. Factors that are considered include, but are not limited to the following: investment objectives, targeted allocation, current allocation, suitability, performance, number of trades, monthly distributions, concentrated positions, diversification, and outside holdings.

Daniel T. Russler  
4001 Barrett Drive, Suite 100  
Raleigh, NC 27609  
(919) 783-7787

Mid-Atlantic Securities, Inc.  
4001 Barrett Drive, Suite 100  
Raleigh, NC 27609  
Phone: (919) 783-7787  
Toll Free: (800) 279-7787  
Email: [headquarters@masecurities.com](mailto:headquarters@masecurities.com)

July 31, 2011

This brochure supplement provides information about Daniel T. Russler that supplements the Mid-Atlantic Securities, Inc. ("MAS") brochure. You should have received a copy of that brochure. Please contact Buffa Powell at (919) 783-7787 if you did not receive the MAS brochure or if you have any questions about the contents of this supplement.

Additional information about Mr. Russler is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 - Educational Background and Business Experience

Daniel T. Russler, b. 1936

### Educational Background

University of Virginia – Bachelor of Arts  
Case Western (Reserve) - postgraduate studies

### Business Experience

Firm	Position	Dates
Mid-Atlantic Securities, Inc.	Financial Advisor	2/1988-Present

## Item 3 - Disciplinary Information

Investment Advisor Representatives are required to disclose all material facts regarding any legal and disciplinary events would be material to your evaluation of the representative. Mr. Russler has no information applicable to this Item.

## Item 4 - Other Business Activities

Mr. Russler is a Registered Representative of Mid-Atlantic Securities, Inc., a dually registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. Mr. Russler is also licensed to sell variable



annuities and life insurance through Huffines Consulting Services, Inc. He spends up to 70% of his time on these activities.

This may pose a conflict of interest to the extent that he has a financial incentive to recommend securities and other investments that may result in commissions, brokerage fees, 12b-1 fees or other payments. However, Mr. Russler is constrained by fiduciary principles to act in your best interest. In addition, you are under no obligation to purchase any recommended insurance products.

### **Item 5 - Additional Compensation**

Mr. Russler does not receive compensation for advisory services other than fees paid by the client.

### **Item 6 - Supervision**

Mr. Russler is supervised by Buffa Powell, Chief Compliance Officer. Buffa Powell can be reached at (919) 783-7787.

Mr. Russler is required to adhere to Mid-Atlantic Securities' processes and procedures as described in our Code of Ethics. We will monitor the advice that Mr. Russler gives you by reviewing the relevant account opening documentation when the relationship is established and reviewing client correspondence periodically. In addition, Mr. Russler performs periodic reviews of your account activity. Following these reviews, reports are prepared to assist principals in supervising and monitoring the accounts to ensure that trading activity is in line with your stated objectives. Factors that are considered include, but are not limited to the following: investment objectives, targeted allocation, current allocation, suitability, performance, number of trades, monthly distributions, concentrated positions, diversification, and outside holdings.

Robert M. Woronoff, Jr.  
4001 Barrett Drive, Suite 102  
Raleigh, NC 27609  
(919) 788-0950

Mid-Atlantic Securities, Inc.  
4001 Barrett Drive, Suite 100  
Raleigh, NC 27609  
Phone: (919) 783-7787  
Toll Free: (800) 279-7787  
Email: [headquarters@masecurities.com](mailto:headquarters@masecurities.com)

July 31, 2011

This brochure supplement provides information about Robert M. Woronoff, Jr. that supplements the Mid-Atlantic Securities, Inc. ("MAS") brochure. You should have received a copy of that brochure. Please contact Buffa Powell at (919) 783-7787 if you did not receive the MAS brochure or if you have any questions about the contents of this supplement.

Additional information about Mr. Woronoff is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 - Educational Background and Business Experience

Robert M. Woronoff, Jr., b. 1960

### Educational Background

UNC at Chapel Hill - BS, BA  
University of Virginia - MBA

### Business Experience

<b>Firm</b>	<b>Position</b>	<b>Dates</b>
Mid-Atlantic Securities, Inc.	Financial Advisor	6/2009-Present
Benmot Publishing Co., Inc.	President	12/1998-Present

## Item 3 - Disciplinary Information

Investment Advisor Representatives are required to disclose all material facts regarding any legal and disciplinary events would be material to your evaluation of the representative. Mr. Woronoff has no information applicable to this Item.

## Item 4 - Other Business Activities

Advisors are required to disclose other investment related businesses or activities, such as registration as a broker-dealer registered representative, futures commission merchant, commodity pool operator,

commodity trading advisor, or any other business activities that provide a substantial source of time or income. Mr. Woronoff has no information applicable to this item.

### **Item 5 - Additional Compensation**

Mr. Woronoff does not receive compensation for advisory services other than fees paid by the client.

### **Item 6 - Supervision**

Mr. Woronoff is supervised by Buffa Powell, Chief Compliance Officer. Buffa Powell can be reached at (919) 783-7787.

Mr. Woronoff is required to adhere to Mid-Atlantic Securities' processes and procedures as described in our Code of Ethics. We will monitor the advice that Mr. Woronoff gives you by reviewing the relevant account opening documentation when the relationship is established and reviewing client correspondence periodically. In addition, Mr. Woronoff performs periodic reviews of your account activity. Following these reviews, reports are prepared to assist principals in supervising and monitoring the accounts to ensure that trading activity is in line with your stated objectives. Factors that are considered include, but are not limited to the following: investment objectives, targeted allocation, current allocation, suitability, performance, number of trades, monthly distributions, concentrated positions, diversification, and outside holdings.

John Dominic Zaleski, II  
763 Madison Road, Suite 203  
Culpeper, VA 22701  
(540) 829-6134

Mid-Atlantic Securities, Inc.  
4001 Barrett Drive, Suite 100  
Raleigh, NC 27609  
Phone: (919) 783-7787  
Toll Free: (800) 279-7787  
Email: [headquarters@masecurities.com](mailto:headquarters@masecurities.com)

July 31, 2011

This brochure supplement provides information about John Dominic Zaleski, II that supplements the Mid-Atlantic Securities, Inc. ("MAS") brochure. You should have received a copy of that brochure. Please contact Buffa Powell at (919) 783-7787 if you did not receive the MAS brochure or if you have any questions about the contents of this supplement.

Additional information about Mr. Zaleski is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 - Educational Background and Business Experience

John Dominic Zaleski, II, b. 1949

### Educational Background

University of Massachusetts - BS, Psychology  
University of Massachusetts Graduate - Accounting/Finance

### Business Experience

Firm	Position	Dates
Mid-Atlantic Securities, Inc.	Financial Advisor	3/1996-Present

## Item 3 - Disciplinary Information

Investment Advisor Representatives are required to disclose all material facts regarding any legal and disciplinary events would be material to your evaluation of the representative. Mr. Zaleski has no information applicable to this Item.

## Item 4 - Other Business Activities

Mr. Zaleski is a Registered Representative of Mid-Atlantic Securities, Inc., a dually registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment

products and trails received from the sale of mutual funds. Mr. Zaleski is also licensed to sell variable annuities and life insurance. He spends up to 10% of his time on these activities.

This may pose a conflict of interest to the extent that he has a financial incentive to recommend securities and other investments that may result in commissions, brokerage fees, 12b-1 fees or other payments. However, Mr. Zaleski is constrained by fiduciary principles to act in your best interest. In addition, you are under no obligation to purchase any recommended insurance products.

### **Item 5 - Additional Compensation**

Mr. Zaleski does not receive compensation for advisory services other than fees paid by the client.

### **Item 6 - Supervision**

Mr. Zaleski is supervised by Buffa Powell, Chief Compliance Officer. Buffa Powell can be reached at (919) 783-7787.

Mr. Zaleski is required to adhere to Mid-Atlantic Securities' processes and procedures as described in our Code of Ethics. We will monitor the advice that Mr. Zaleski gives you by reviewing the relevant account opening documentation when the relationship is established and reviewing client correspondence periodically. In addition, Mr. Zaleski performs periodic reviews of your account activity. Following these reviews, reports are prepared to assist principals in supervising and monitoring the accounts to ensure that trading activity is in line with your stated objectives. Factors that are considered include, but are not limited to the following: investment objectives, targeted allocation, current allocation, suitability, performance, number of trades, monthly distributions, concentrated positions, diversification, and outside holdings.

Brian J. Early  
254-18 Northern Boulevard, Suite 5  
Little Neck, NY 11362  
(718) 631-4000

Mid-Atlantic Securities, Inc.  
4001 Barrett Drive, Suite 100  
Raleigh, NC 27609  
Phone: (919) 783-7787  
Toll Free: (800) 279-7787  
Email: [headquarters@masecurities.com](mailto:headquarters@masecurities.com)

July 31, 2011

This brochure supplement provides information about Brian J. Early that supplements the Mid-Atlantic Securities, Inc. ("MAS") brochure. You should have received a copy of that brochure. Please contact Buffa Powell at (919) 783-7787 if you did not receive the MAS brochure or if you have any questions about the contents of this supplement.

Additional information about Mr. Early is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 2 - Educational Background and Business Experience**

Brian J. Early, b. 1956

### Educational Background

Pace University, Lubin School of Business · CFP®

The CERTIFIED FINANCIAL PLANNER™ (CFP®) designation is issued by the Certified Financial Planner Board of Standards, Inc after candidates pass the CFP Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances. Certified individuals are required to complete 30 hours of continuing education every two years, including two hours on the Code of Ethics and other parts of the Standard of Professional Conduct.

### Business Experience

<b>Firm</b>	<b>Position</b>	<b>Dates</b>
Mid-Atlantic Securities, Inc.	Financial Advisor	8/1997-Present
Brown & Overton	Independent Contractor	10/1992-Present

### **Item 3 - Disciplinary Information**

Investment Advisor Representatives are required to disclose all material facts regarding any legal and disciplinary events would be material to your evaluation of the representative. Mr. Early has no information applicable to this Item.

### **Item 4 - Other Business Activities**

Mr. Early is a Registered Representative of Mid-Atlantic Securities, Inc., a dually registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. Mr. Early is also licensed to sell variable annuities and life insurance through R.H. Overton Company. He spends up to 10% of his time on these activities.

This may pose a conflict of interest to the extent that he has a financial incentive to recommend securities and other investments that may result in commissions, brokerage fees, 12b-1 fees or other payments. However, Mr. Early is constrained by fiduciary principles to act in your best interest. In addition, you are under no obligation to purchase any recommended insurance products.

### **Item 5 - Additional Compensation**

Mr. Early does not receive compensation for advisory services other than fees paid by the client.

### **Item 6 - Supervision**

Mr. Early is supervised by Buffa Powell, Chief Compliance Officer. Buffa Powell can be reached at (919) 783-7787.

Mr. Early is required to adhere to Mid-Atlantic Securities' processes and procedures as described in our Code of Ethics. We will monitor the advice that Mr. Early gives you by reviewing the relevant account opening documentation when the relationship is established and reviewing client correspondence periodically. In addition, Mr. Early performs periodic reviews of your account activity. Following these reviews, reports are prepared to assist principals in supervising and monitoring the accounts to ensure that trading activity is in line with your stated objectives. Factors that are considered include, but are not limited to the following: investment objectives, targeted allocation, current allocation, suitability, performance, number of trades, monthly distributions, concentrated positions, diversification, and outside holdings.

Louis P. Orgera, CPA, CFP®  
254-18 Northern Boulevard, Suite 5  
Little Neck, NY 11362  
(718) 631-4000

Mid-Atlantic Securities, Inc.  
4001 Barrett Drive, Suite 100  
Raleigh, NC 27609  
Phone: (919) 783-7787  
Toll Free: (800) 279-7787  
Email: [headquarters@masecurities.com](mailto:headquarters@masecurities.com)  
July 31, 2011

**This brochure supplement provides information about Louis P. Orgera that supplements the Mid-Atlantic Securities, Inc. ("MAS") brochure. You should have received a copy of that brochure. Please contact Buffa Powell at (919) 783-7787 if you did not receive the MAS brochure or if you have any questions about the contents of this supplement.**

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

## **Item 2 - Educational Background and Business Experience**

Louis P. Orgera, b. 1958

### Educational Background

Queens College · Bachelor of Arts

Adelphi University · CFP®

In order to qualify for licensure as a Certified Public Accountant (CPA), an individual must pass the Uniform Certified Public Accountant (CPA) Examination. CPAs are the only licensed accounting professionals. CPA licenses are issued by state boards of accountancy – there is no national CPA licensure process in the U.S. The purpose of the Uniform CPA Examination is to provide reasonable assurance to Boards of Accountancy (the state entities that have statutory authority to issue licenses) that those who pass the CPA Examination possess the level of technical knowledge and the skills necessary for initial licensure in protection of the public interest. In addition to the uniform examination, education and experience requirements may vary from state to state. Candidates for CPA licensure must meet all three requirements. As a result, passing the CPA Examination is not sufficient – in itself – to qualify for licensure. Most states/jurisdictions require at least a bachelor's degree and at least two years public accounting experience to be eligible to become a CPA.

The CERTIFIED FINANCIAL PLANNER™ (CFP®) designation is issued by the Certified Financial Planner Board of Standards, Inc after candidates pass the CFP Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial



planning to real world circumstances. Certified individuals are required to complete 30 hours of continuing education every two years, including two hours on the Code of Ethics and other parts of the Standard of Professional Conduct. Currently, as a prerequisite to sitting for the CFP Certification Examination, candidates must hold a bachelor's degree (or higher) from an accredited college or university and have at least 3 years of full time personal financial planning experience. In addition, candidates must complete a CFP-board registered program or hold one of the following: CPA, ChFC, CLU, CFA, Ph.D. in business or economics, Doctor of Business Administration, Attorney's License.

#### Business Experience

<b>Firm</b>	<b>Position</b>	<b>Dates</b>
Mid-Atlantic Securities, Inc.	Financial Advisor	11/2005-Present
Louis Orgera, CPA	Owner	11/1992-Present

### **Item 3 - Disciplinary Information**

Investment Advisor Representatives are required to disclose all material facts regarding any legal and disciplinary events would be material to your evaluation of the representative. Mr. Orgera has no information applicable to this Item.

### **Item 4 - Other Business Activities**

Mr. Orgera is a Registered Representative of Mid-Atlantic Securities, Inc., a dually registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. Mr. Orgera is also licensed to sell insurance products through Aflec NY. He spends up to 20% of his time on these activities.

This may pose a conflict of interest to the extent that he has a financial incentive to recommend securities and other investments that may result in commissions, brokerage fees, 12b-1 fees or other payments. However, Mr. Orgera is constrained by fiduciary principles to act in your best interest. In addition, you are under no obligation to purchase any recommended insurance products.

Mr. Orgera is a licensed CPA and operates a CPA practice focusing on small business and individual tax clients.

### **Item 5 - Additional Compensation**

Mr. Orgera does not receive compensation for advisory services other than fees paid by the client.

### **Item 6 - Supervision**

Mr. Orgera is supervised by Buffa Powell, Chief Compliance Officer. Buffa Powell can be reached at (919) 783-7787.

Mr. Orgera is required to adhere to Mid-Atlantic Securities' processes and procedures as described in our Code of Ethics. We will monitor the advice that Mr. Orgera gives you by reviewing the relevant account opening documentation when the relationship is established and reviewing client correspondence periodically. In addition, Mr. Orgera performs periodic reviews of your account activity. Following these reviews, reports are prepared to assist principals in supervising and monitoring the accounts to ensure that trading activity is in line with your stated objectives. Factors that are considered include, but are not limited to the following: investment objectives, targeted allocation, current allocation, suitability, performance, number of trades, monthly distributions, concentrated positions, diversification, and outside holdings.

Jason Nadolny  
254-18 Northern Boulevard, Suite 5  
Little Neck, NY 11362  
(718) 631-4000

Mid-Atlantic Securities, Inc.  
4001 Barrett Drive, Suite 100  
Raleigh, NC 27609  
Phone: (919) 783-7787  
Toll Free: (800) 279-7787  
Email: [headquarters@masecurities.com](mailto:headquarters@masecurities.com)

July 31, 2011

This brochure supplement provides information about Jason Nadolny that supplements the Mid-Atlantic Securities, Inc. ("MAS") brochure. You should have received a copy of that brochure. Please contact Buffa Powell at (919) 783-7787 if you did not receive the MAS brochure or if you have any questions about the contents of this supplement.

Additional information about Mr. Nadolny is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 - Educational Background and Business Experience

Jason Nadolny, b. 1972

### Educational Background

New Jersey City University - BA, Political Science & History  
New Jersey City University - MS, Finance

### Business Experience

<b>Firm</b>	<b>Position</b>	<b>Dates</b>
Mid-Atlantic Securities, Inc.	Financial Advisor	2/2011-Present
Yale Club	Bartender	8/1999-Present
NJ City University	Administrative Assistant	1/2005-1/2011

## Item 3 - Disciplinary Information

Investment Advisor Representatives are required to disclose all material facts regarding any legal and disciplinary events would be material to your evaluation of the representative. Mr. Nadolny has no information applicable to this Item.

#### **Item 4 - Other Business Activities**

Mr. Nadolny is a Registered Representative of Mid-Atlantic Securities, Inc., a dually registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. Mr. Nadolny is also licensed to sell variable annuities and life insurance.

This may pose a conflict of interest to the extent that he has a financial incentive to recommend securities and other investments that may result in commissions, brokerage fees, 12b-1 fees or other payments. However, Mr. Nadolny is constrained by fiduciary principles to act in your best interest. In addition, you are under no obligation to purchase any recommended insurance products.

Mr. Nadolny also works part-time as a bartender at Yale Club in New York.

#### **Item 5 - Additional Compensation**

Mr. Nadolny does not receive compensation for advisory services other than fees paid by the client.

#### **Item 6 - Supervision**

Mr. Nadolny is supervised by Buffa Powell, Chief Compliance Officer. Buffa Powell can be reached at (919) 783-7787.

Mr. Nadolny is required to adhere to Mid-Atlantic Securities' processes and procedures as described in our Code of Ethics. We will monitor the advice that Mr. Nadolny gives you by reviewing the relevant account opening documentation when the relationship is established and reviewing client correspondence periodically. In addition, Mr. Nadolny performs periodic reviews of your account activity. Following these reviews, reports are prepared to assist principals in supervising and monitoring the accounts to ensure that trading activity is in line with your stated objectives. Factors that are considered include, but are not limited to the following: investment objectives, targeted allocation, current allocation, suitability, performance, number of trades, monthly distributions, concentrated positions, diversification, and outside holdings.

James B. Glover, Jr.  
Mid-Atlantic Securities, Inc.  
4001 Barrett Drive, Suite 100  
Raleigh, NC 27609  
Phone: (919) 783-7787  
Toll Free: (800) 279-7787  
Email: headquarters@masecurities.com

July 31, 2011

This brochure supplement provides information about James B. Glover, Jr. that supplements the Mid-Atlantic Securities, Inc. ("MAS") brochure. You should have received a copy of that brochure. Please contact Buffa Powell at (919) 783-7787 if you did not receive the MAS brochure or if you have any questions about the contents of this supplement.

Additional information about Mr. Glover is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 - Educational Background and Business Experience

James B. Glover, Jr., b. 1959

### Educational Background

University of North Carolina – BS, Business Administration (1982)

### Business Experience

Firm	Position	Dates
Mid-Atlantic Securities, Inc.	Treasurer, Registered Rep. and Principal	1987-Present

## Item 3 - Disciplinary Information

Mr. Glover was involved with a finding of deficient net capital and inaccurate focus reports due to advances made to employees that were not allowable assets. MAS was found to have effected transactions in non-exempt securities while it had insufficient net capital, failed to accurately make certain books and records, filed materially inaccurate FOCUS Part I and IIA reports, and failed to give telegraphic notice and file a FOCUS Part IIA report with regard to its net capital and recordkeeping deficiencies. The National Association of Securities Dealers (NASD) censured and fined MAS \$5,000 on 12/6/1993.

## Item 4 - Other Business Activities

Mr. Glover is a Registered Representative of Mid-Atlantic Securities, Inc., a dually registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. The majority of his income is derived from these non-advisory activities.

This may pose a conflict of interest to the extent that he has a financial incentive to recommend securities and other investments that may result in commissions, brokerage fees, 12b-1 fees or other payments. However, Mr. Glover is constrained by fiduciary principles to act in your best interest.

### **Item 5 - Additional Compensation**

Mr. Glover does not receive compensation for advisory services other than fees paid by the client.

### **Item 6 - Supervision**

Mr. Glover is supervised by Buffa Powell, Chief Compliance Officer. Buffa Powell can be reached at (919) 783-7787.

Mr. Glover is required to adhere to Mid-Atlantic Securities' processes and procedures as described in our Code of Ethics. We will monitor the advice that Mr. Glover gives you by reviewing the relevant account opening documentation when the relationship is established and reviewing client correspondence periodically. In addition, Mr. Glover performs periodic reviews of your account activity. Following these reviews, reports are prepared to assist principals in supervising and monitoring the accounts to ensure that trading activity is in line with your stated objectives. Factors that are considered include, but are not limited to the following: investment objectives, targeted allocation, current allocation, suitability, performance, number of trades, monthly distributions, concentrated positions, diversification, and outside holdings.

John F. Nash  
Mid-Atlantic Securities, Inc.  
4001 Barrett Drive, Suite 100  
Raleigh, NC 27609  
Phone: (919) 783-7787  
Toll Free: (800) 279-7787  
Email: [headquarters@masecurities.com](mailto:headquarters@masecurities.com)

July 31, 2011

This brochure supplement provides information about John F. Nash that supplements the Mid-Atlantic Securities, Inc. ("MAS") brochure. You should have received a copy of that brochure. Please contact Buffa Powell at (919) 783-7787 if you did not receive the MAS brochure or if you have any questions about the contents of this supplement.

Additional information about Mr. Nash is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 2 - Educational Background and Business Experience**

John F. Nash, b. 1953

### Educational Background

University of North Carolina – BS, Economics (1976)

### Business Experience

<b>Firm</b>	<b>Position</b>	<b>Dates</b>
Mid-Atlantic Securities, Inc.	President / Registered Representative	1986-Present

## **Item 3 - Disciplinary Information**

Investment Advisor Representatives are required to disclose all material facts regarding any legal and disciplinary events would be material to your evaluation of the representative. Mr. Nash has no information applicable to this Item.

## **Item 4 - Other Business Activities**

Mr. Nash is a Registered Representative of Mid-Atlantic Securities, Inc., a dually registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. Mr. Nash is also licensed to sell variable annuities and life insurance. The majority of his income is derived from these non-advisory activities.

This may pose a conflict of interest to the extent that he has a financial incentive to recommend securities and other investments that may result in commissions, brokerage fees, 12b-1 fees or other payments. However, Mr. Nash is constrained by fiduciary principles to act in your best interest. In addition, you are under no obligation to purchase any recommended insurance products.

### **Item 5 - Additional Compensation**

Mr. Nash does not receive compensation for advisory services other than fees paid by the client.

### **Item 6 - Supervision**

Mr. Nash is supervised by Buffa Powell, Chief Compliance Officer. Buffa Powell can be reached at (919) 783-7787.

Mr. Nash is required to adhere to Mid-Atlantic Securities' processes and procedures as described in our Code of Ethics. We will monitor the advice that Mr. Nash gives you by reviewing the relevant account opening documentation when the relationship is established and reviewing client correspondence periodically. In addition, Mr. Nash performs periodic reviews of your account activity. Following these reviews, reports are prepared to assist principals in supervising and monitoring the accounts to ensure that trading activity is in line with your stated objectives. Factors that are considered include, but are not limited to the following: investment objectives, targeted allocation, current allocation, suitability, performance, number of trades, monthly distributions, concentrated positions, diversification, and outside holdings.