

**John L. Avery**  
**Presidential Brokerage, Inc.**  
5445 DTC Parkway, Suite 1100  
Greenwood Village, Co 80111  
303-694-1600  
February 17, 2012

**This Brochure Supplement provides additional information about Mr. Avery not included in the Presidential Brokerage, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Tony Campen, at 800-230-1288 if you have not received Presidential's disclosure brochure or if you have any questions about the contents of this supplement.**

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

#### **Educational Background and Business Experience**

- Mr. Avery was born in 1956
- Received Bachelor of Science degrees in Political Science and Psychology from the University of Denver
- Has been employed with Presidential since February 1994; he is an Investment Adviser Representative, a Registered Representative and an Insurance Agent.

#### **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. Information related to any disciplinary events can be found in the section titled "Requirements for State Registered Advisors."

#### **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Mr. Avery is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, he also sells securities and insurance products in separate capacities as a registered representative and insurance agent, for which he receives sales commissions.

Some of the advice offered by advisory representatives involve investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges, sometimes referred to as a 12(b)-1 fee. The advisory representatives may receive a portion of the 12(b)-1 fee from some investment companies in their separate capacities

as registered representatives. Clients should be aware that these 12(b)-1 fees come from fund assets, and thus, indirectly from clients' assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest. While the advisory representatives of Presidential endeavor at all times to put the interest of clients first as part of their fiduciary duty, clients should be aware that the receipt or potential receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of the advisory representatives when making recommendations.

### **Additional Compensation**

Mr. Avery does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

### **Supervision**

Mr. Avery's investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Mr. Avery by performing regular, periodic reviews of Mr. Avery's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

### **Requirements for State Registered Advisors**

In 2005, without admitting or denying any wrongdoing, Mr. Avery signed a letter of acceptance, Waiver and Consent with the NASD that he exercised discretion without written authorization from the customers and approval of his firm in violation of NASD Rules resulting in a censure, a 10 day suspension and a \$7,500 fine.

Mr. Avery had been utilizing discretion based on the customers' expressed verbal authorization but did not receive the authorization in writing to be approved by the firm. No customer complaints were involved nor were any customers harmed.

# **Robert F. Blake**

**Presidential Brokerage, Inc.  
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303-694-1600  
February 17, 2012**

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

## **Educational Background and Business Experience**

- Mr. Blake was born in 1943
- Received a Bachelor of Science degree in Business Administration from Westminster College and a Bachelor of Science degree in Animal Science from The Ohio State University
- Has been employed with Presidential since May 2001; he is an Investment Adviser Representative, a Registered Representative and an Insurance Agent.

## **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. Information related to any disciplinary events can be found in the section titled "Requirements for State Registered Advisors."

## **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Mr. Blake is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, he also sells securities and insurance products in separate capacities as a registered representative and insurance agent, for which he receives sales commissions.

Some of the advice offered by advisory representatives involve investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges, sometimes referred to as a 12(b)-1 fee. The advisory representatives may receive a

portion of the 12(b)-1 fee from some investment companies in their separate capacities as registered representatives. Clients should be aware that these 12(b)-1 fees come from fund assets, and thus, indirectly from clients' assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest. While the advisory representatives of Presidential endeavor at all times to put the interest of clients first as part of their fiduciary duty, clients should be aware that the receipt or potential receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of the advisory representatives when making recommendations.

### **Additional Compensation**

Mr. Blake does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

### **Supervision**

Mr. Blake's investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Mr. Blake by performing regular, periodic reviews of Mr. Blake's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

### **Requirements for State Registered Advisors**

In 1995 Mr. Blake, while employed at a prior firm, was named in an arbitration in which an award was granted with Mr. Blake and his former firm being jointly and severally liable for \$19,874 in damages.

Also in 1995 Mr. Blake, while employed at a prior firm, was named in an arbitration in which an award was granted with Mr. Blake and his former firm being jointly and severally liable for \$77,100 in damages.

In 1995 Mr. Blake, while employed at a prior firm, signed a letter of Acceptance, Waiver & Consent with the NASD alleging violations of article III, sections 1, 2 and 35 of the rules of fair practice in that Mr. Blake had disseminated to members of the public sales literature that failed to conform with the standards for communications with the public; Mr. Blake recommended to members of the public the purchase of stock and warrants and in connection with his recommendations, made misrepresentations and exaggerated claims and omitted to disclose material information about the stock; the AWC stated he made unsuitable recommendations to a public customer in light of

information known to Mr. Blake about the customer's financial situation, financial needs, investment experience and objectives. Mr. Blake was censured, fined \$7,500 and suspended for 5 business days.

In 1997 Mr. Blake was the subject of a regulatory action by the State of Illinois following the NASD action described above. As a result Mr. Blake consented to a censure, payed a \$1,000 fine and was subject to heightened supervision for eight months.

In 1982 Mr. Blake's former firm and several employees, including Mr. Blake, were the subject of a regulatory action with the State of Georgia after transacting securities business in the state prior to having their registration approved, resulting in a denial of their application. After meeting certain criteria, his employer E.J. Pittock & Co., Inc., resubmitted an application for registration in the State of Georgia and on 5/3/84, registration was approved.

**John W. Buckingham**  
**Presidential Brokerage, Inc.**  
**5445 DTC Parkway, Suite 1100**  
**Greenwood Village, Co 80111**  
**303-694-1600**  
**February 17, 2012**

**This Brochure Supplement provides additional information about Mr. Buckingham not included in the Presidential Brokerage, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Tony Campen, at 800-230-1288 if you have not received Presidential's disclosure brochure or if you have any questions about the contents of this supplement.**

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

#### **Educational Background and Business Experience**

- Mr. Buckingham was born in 1971
- Received a Bachelor of Science degree in Business from Marquette University
- Has been employed with Presidential since March 2009; he is an Investment Adviser Representative, a Registered Representative and an Insurance Agent
- Was employed with Wedbush Morgan Securities from December 2006 through March 2009 as an Investment Adviser Representative, a Registered Representative and an Insurance Agent

#### **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

- No information is applicable to this Item.

#### **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Mr. Buckingham is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, he also sells securities and insurance products in separate capacities as a registered representative and insurance agent, for which he receives sales commissions.

Some of the advice offered by advisory representatives involve investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges, sometimes referred to as a 12(b)-1 fee. The advisory representatives may receive a portion of the 12(b)-1 fee from some investment companies in their separate capacities as registered representatives. Clients should be aware that these 12(b)-1 fees come from fund assets, and thus, indirectly from clients' assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest. While the advisory representatives of Presidential endeavor at all times to put the interest of clients first as part of their fiduciary duty, clients should be aware that the receipt or potential receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of the advisory representatives when making recommendations.

### **Additional Compensation**

Mr. Buckingham does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

### **Supervision**

Mr. Buckingham's investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Mr. Buckingham by performing regular, periodic reviews of Mr. Buckingham's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

### **Requirements for State Registered Advisors**

In April 2010 Mr. Buckingham filed a petition for Chapter 13 Bankruptcy, which was discharged in June, 2010.

# **Benjamin S. Caday**

5920 Friars Road, Suite 206  
San Diego, Ca 92110  
619-684-1454

## **Presidential Brokerage, Inc.**

5445 DTC Parkway, Suite 1100  
Greenwood Village, Co 80111  
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February 17, 2012

**This Brochure Supplement provides additional information about Mr. Caday not included in the Presidential Brokerage, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Tony Campen, at 800-230-1288 if you have not received Presidential's disclosure brochure or if you have any questions about the contents of this supplement.**

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

### **Educational Background and Business Experience**

- Mr. Caday was born in 1969
- Received a Bachelor of Arts degree in Economics from the University of California, Berkley
- Has been employed with Presidential since September 1998; he is an Investment Adviser Representative, a Registered Representative and an Insurance Agent.

### **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

- No information is applicable to this Item.

### **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Mr. Caday is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, he also sells securities and insurance products



in separate capacities as a registered representative and insurance agent, for which he receives sales commissions.

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### **Additional Compensation**

Mr. Caday does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

### **Supervision**

Mr. Caday's investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Mr. Caday by performing regular, periodic reviews of Mr. Caday's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

### **Requirements for State Registered Advisors**

Mr. Caday has no additional disclosures to make under this requirement.

# Anthony Campen

8531 E. Naranja Ave.  
Mesa, Az 85209

Presidential Brokerage, Inc.  
5445 DTC Parkway, Suite 1100  
Greenwood Village, Co 80111  
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**Additional information about Mr. Campen is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## **Educational Background and Business Experience**

- Mr. Campen was born in 1961
- Received a Bachelor of Science degree in Business Administration from California State University, Chico.
- Has been employed with Presidential since August 1995; he is an Investment Adviser Representative and a Registered Representative.

## **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. Information related to any disciplinary events can be found in the section titled "Requirements for State Registered Advisors."

## **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Mr. Campen is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, he also sells securities and insurance products in separate capacities as a registered representative and insurance agent, for which he receives sales commissions.

Some of the advice offered by advisory representatives involve investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges, sometimes referred to as a 12(b)-1 fee. The advisory representatives may receive a portion of the 12(b)-1 fee from some investment companies in their separate capacities as registered representatives. Clients should be aware that these 12(b)-1 fees come from fund assets, and thus, indirectly from clients' assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest. While the advisory representatives of Presidential endeavor at all times to put the interest of clients first as part of their fiduciary duty, clients should be aware that the receipt or potential receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of the advisory representatives when making recommendations.

### **Additional Compensation**

Mr. Campen does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

### **Supervision**

Mr. Campen's investment recommendations and activities are supervised by the firm's President, Daniel Lempe. The Mr. Lempe supervises Mr. Campen by performing regular, periodic reviews of Mr. Campen's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

Mr. Lempe can be reached at 800-230-1288 or at [dlempe@presidentialbrokerage.com](mailto:dlempe@presidentialbrokerage.com).

### **Requirements for State Registered Advisors**

In 2005, without admitting or denying any wrongdoing, Mr. Campen signed a letter of acceptance, Waiver and Consent with the NASD that he: reported customer complaints with inaccurate "problem codes" and did not report, or reported late, matters that required disclosure under NASD Rule 3070 and failed to establish a supervisory system designed to comply with Rule 3070 reporting; reported late or did not disclose information required to be on a Form U-5; did not supervise an employee in compliance with NASD Rule 2310 with respect to mutual fund share class recommendations. Mr. Campen, together with his member firm, was fined \$70,000 and suspended from acting in a supervisory capacity for 15 business days.

**John A. DuPriest**  
**Presidential Brokerage, Inc.**  
5445 DTC Parkway, Suite 1100  
Greenwood Village, Co 80111  
303-694-1600  
February 17, 2012

**This Brochure Supplement provides additional information about Mr. DuPriest not included in the Presidential Brokerage, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Tony Campen, at 800-230-1288 if you have not received Presidential's disclosure brochure or if you have any questions about the contents of this supplement.**

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

### **Educational Background and Business Experience**

- Mr. DuPriest was born in 1945.
- Received a Bachelor of Arts degree in Social Sciences from the University of Denver.
- Has been employed with Presidential since January 1998; he is an Investment Adviser Representative and a Registered Representative.

### **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

- No information is applicable to this Item.

### **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Mr. DuPriest is also employed as a Registered Representative of the firm's Broker/Dealer . As such, he also sells securities in a separate capacity as a registered for which he receives sales commissions.

Some of the advice offered by advisory representatives involve investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges, sometimes referred to as a 12(b)-1 fee. The advisory representatives may receive a portion of the 12(b)-1 fee from some investment companies in their separate capacities

as registered representatives. Clients should be aware that these 12(b)-1 fees come from fund assets, and thus, indirectly from clients' assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest. While the advisory representatives of Presidential endeavor at all times to put the interest of clients first as part of their fiduciary duty, clients should be aware that the receipt or potential receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of the advisory representatives when making recommendations.

### **Additional Compensation**

Mr. DuPriest does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

### **Supervision**

Mr. DuPriest's investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Mr. DuPriest by performing regular, periodic reviews of Mr. DuPriest's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

### **Requirements for State Registered Advisors**

Mr. DuPriest has no additional disclosures to make under this requirement.

# Heidi Farrell

Presidential Brokerage, Inc.  
5445 DTC Parkway, Suite 1100  
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February 17, 2012

**This Brochure Supplement provides additional information about Ms. Mason not included in the Presidential Brokerage, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Tony Campen, at 800-230-1288 if you have not received Presidential's disclosure brochure or if you have any questions about the contents of this supplement.**

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

## **Educational Background and Business Experience**

- Ms. Farrell was born in 1952
- Received a Business degree from the Juventus Business School in Zurich
- Has been employed with Presidential since August 1999; she is an Investment Adviser Representative, a Registered Representative and an Insurance Agent

## **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

- No information is applicable to this Item.

## **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Ms. Mason is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, she also sells securities and insurance products in separate capacities as a registered representative and insurance agent, for which she receives sales commissions.

Some of the advice offered by advisory representatives involve investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges, sometimes referred to as a 12(b)-1 fee. The advisory representatives may receive a portion of the 12(b)-1 fee from some investment companies in their separate capacities

as registered representatives. Clients should be aware that these 12(b)-1 fees come from fund assets, and thus, indirectly from clients' assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest. While the advisory representatives of Presidential endeavor at all times to put the interest of clients first as part of their fiduciary duty, clients should be aware that the receipt or potential receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of the advisory representatives when making recommendations.

### **Additional Compensation**

Ms. Mason does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

### **Supervision**

Ms. Mason's investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Ms. Mason by performing regular, periodic reviews of Ms. Mason's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

### **Requirements for State Registered Advisors**

Ms. Mason has no additional disclosures to make under this requirement.

# Bruce A. Larsen

Presidential Brokerage, Inc.  
5445 DTC Parkway, Suite 1100  
Greenwood Village, Co 80111  
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February 17, 2012

**This Brochure Supplement provides additional information about Mr. Larsen not included in the Presidential Brokerage, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Tony Campen, at 800-230-1288 if you have not received Presidential's disclosure brochure or if you have any questions about the contents of this supplement.**

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

## **Educational Background and Business Experience**

- Mr. Larsen was born in 1962
- Received a Bachelor of Science degree in Accounting from the University of Wyoming
- Has been employed with Presidential since March 2010; he is an Investment Adviser Representative, a Registered Representative and an Insurance Agent
- Was employed with Valic Financial Advisors from July 2009 through March 2010 as an Investment Adviser Representative, a Registered Representative and an Insurance Agent
- Was employed with Wells Fargo Advisors from February 2009 through July 2009 as an Investment Adviser Representative, a Registered Representative and an Insurance Agent
- Was employed with Merrill Lynch from November 1998 through February 2009 as an Investment Adviser Representative, a Registered Representative and an Insurance Agent

## **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

- No information is applicable to this Item.

## **Other Business Activities**



In addition to being an Investment Adviser Representative for Presidential, Mr. Larsen is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, he also sells securities and insurance products in separate capacities as a registered representative and insurance agent, for which he receives sales commissions.

Some of the advice offered by advisory representatives involve investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges, sometimes referred to as a 12(b)-1 fee. The advisory representatives may receive a portion of the 12(b)-1 fee from some investment companies in their separate capacities as registered representatives. Clients should be aware that these 12(b)-1 fees come from fund assets, and thus, indirectly from clients' assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest. While the advisory representatives of Presidential endeavor at all times to put the interest of clients first as part of their fiduciary duty, clients should be aware that the receipt or potential receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of the advisory representatives when making recommendations.

### **Additional Compensation**

Mr. Larsen does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

### **Supervision**

Mr. Larsen's investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Mr. Larsen by performing regular, periodic reviews of Mr. Larsen's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

### **Requirements for State Registered Advisors**

Mr. Larson has no additional disclosures to make under this requirement.

**Taylor Leary**  
**Presidential Brokerage, Inc.**  
5445 DTC Parkway, Suite 1100  
Greenwood Village, Co 80111  
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February 17, 2012

**This Brochure Supplement provides additional information about Mr. Leary not included in the Presidential Brokerage, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Tony Campen, at 800-230-1288 if you have not received Presidential's disclosure brochure or if you have any questions about the contents of this supplement.**

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

### **Educational Background and Business Experience**

- Mr. Leary was born in 1985
- Received a Bachelor of Arts degree in Political Science from the University of Colorado, Boulder
- Has been employed with Presidential since April 2011; he is an Investment Adviser Representative, a Registered Representative and an Insurance Agent
- Was employed with Edward Jones from September 2009 through February 2011 as an Investment Adviser Representative, a Registered Representative and an Insurance Agent
- Was a full-time student at the University of Colorado, Boulder from August 2004 through August 2009

### **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

- No information is applicable to this Item.

### **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Mr. Leary is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, he also sells securities and insurance products in separate capacities as a registered representative and insurance agent, for which he receives sales commissions.

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### **Additional Compensation**

Mr. Leary does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

### **Supervision**

Mr. Leary's investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Mr. Leary by performing regular, periodic reviews of Mr. Leary's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

### **Requirements for State Registered Advisors**

Mr. Leary has no additional disclosures to make under this requirement.

# Daniel G. Lempe

Presidential Brokerage, Inc.  
5445 DTC Parkway, Suite 1100  
Greenwood Village, Co 80111  
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February 17, 2012

**This Brochure Supplement provides additional information about Mr. Lempe not included in the Presidential Brokerage, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Tony Campen, at 800-230-1288 if you have not received Presidential's disclosure brochure or if you have any questions about the contents of this supplement.**

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

## **Educational Background and Business Experience**

- Mr. Lempe was born in 1957
- Attended the University of Minnesota, Duluth from 1976-1980
- As its founder and President he has been employed with Presidential since June 1991; he is an Investment Adviser Representative, a Registered Representative and an Insurance Agent

## **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

- No information is applicable to this Item.

## **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Mr. Lempe is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, he also sells securities and insurance products in separate capacities as a registered representative and insurance agent, for which he receives sales commissions.

Some of the advice offered by advisory representatives involve investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges, sometimes referred to as a 12(b)-1 fee. The advisory representatives may receive a

portion of the 12(b)-1 fee from some investment companies in their separate capacities as registered representatives. Clients should be aware that these 12(b)-1 fees come from fund assets, and thus, indirectly from clients' assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest. While the advisory representatives of Presidential endeavor at all times to put the interest of clients first as part of their fiduciary duty, clients should be aware that the receipt or potential receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of the advisory representatives when making recommendations.

### **Additional Compensation**

Mr. Lempe does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

### **Supervision**

Mr. Lempe's investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Mr. Lempe by performing regular, periodic reviews of Mr. Lempe's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

### **Requirements for State Registered Advisors**

Mr. Lempe has no additional disclosures to make under this requirement.

# Peter F. Lengsfeld, CFP

Presidential Brokerage, Inc.  
5445 DTC Parkway, Suite 1100  
Greenwood Village, Co 80111  
303-694-1600  
February 17, 2012

**This Brochure Supplement provides additional information about Mr. Lengsfeld not included in the Presidential Brokerage, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Tony Campen, at 800-230-1288 if you have not received Presidential's disclosure brochure or if you have any questions about the contents of this supplement.**

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

## **Educational Background and Business Experience**

- Mr. Lengsfeld was born in 1967
- Received a Bachelor of Science degree in Mechanical Engineering and a Masters of Science in Mechanical Engineering from the University of California, Irvine
- Is a Certified Financial Planner™
- Has been employed with Presidential since April 1996; he is an Investment Adviser Representative, a Registered Representative and an Insurance Agent

The CFP (Certified Financial Planner) is a professional certification granted by the Certified Financial Planner Board of Standards, Inc. ("CFP Board"). To attain the right to use the CFP mark, an individual must attain a bachelor's degree from a U.S. college or university, complete a college level course of study covering financial planning topics, pass a comprehensive 10 hour exam, complete at least three years of full time financial planning experience, and agree to be bound by the CFP Board's Standards of Professional Conduct. In addition, to maintain the right to continue to use the mark, an individual must complete 30 hours of continuing education every two years and continue to agree to be bound by the Standards of Professional Conduct.

## **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

- No information is applicable to this Item.

## **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Mr. Lengsfeld is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, he also sells securities and insurance products in separate capacities as a registered representative and insurance agent, for which he receives sales commissions.

Some of the advice offered by advisory representatives involve investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges, sometimes referred to as a 12(b)-1 fee. The advisory representatives may receive a portion of the 12(b)-1 fee from some investment companies in their separate capacities as registered representatives. Clients should be aware that these 12(b)-1 fees come from fund assets, and thus, indirectly from clients' assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest. While the advisory representatives of Presidential endeavor at all times to put the interest of clients first as part of their fiduciary duty, clients should be aware that the receipt or potential receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of the advisory representatives when making recommendations.

## **Additional Compensation**

Mr. Lengsfeld does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

## **Supervision**

Mr. Lengsfeld's investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Mr. Lengsfeld by performing regular, periodic reviews of Mr. Lengsfeld's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

## **Requirements for State Registered Advisors**

Mr. Lengfeld has no additional disclosures to make under this requirement.

**Lorne H. Levy**  
**Presidential Brokerage, Inc.**  
5445 DTC Parkway, Suite 1100  
Greenwood Village, Co 80111  
303-694-1600  
February 17, 2012

**This Brochure Supplement provides additional information about Mr. Levy not included in the Presidential Brokerage, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Tony Campen, at 800-230-1288 if you have not received Presidential's disclosure brochure or if you have any questions about the contents of this supplement.**

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

#### **Educational Background and Business Experience**

- Mr. Levy was born in 1972
- Received a Bachelor of Science degrees in Business Administration and a Bachelor of Arts degree in Sports Management from the University of Massachusetts, Amherst
- Has been employed with Presidential since August 2008; he is an Investment Adviser Representative, a Registered Representative and an Insurance Agent
- Was employed with All City Financial Group from October 2002 through August 2008 as a Mortgage Broker

#### **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

- No information is applicable to this Item.

#### **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Mr. Levy is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, he also sells securities and insurance products in separate capacities as a registered representative and insurance agent, for which he receives sales commissions.



Some of the advice offered by advisory representatives involve investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges, sometimes referred to as a 12(b)-1 fee. The advisory representatives may receive a portion of the 12(b)-1 fee from some investment companies in their separate capacities as registered representatives. Clients should be aware that these 12(b)-1 fees come from fund assets, and thus, indirectly from clients' assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest. While the advisory representatives of Presidential endeavor at all times to put the interest of clients first as part of their fiduciary duty, clients should be aware that the receipt or potential receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of the advisory representatives when making recommendations.

### **Additional Compensation**

Mr. Levy does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

### **Supervision**

Mr. Levy's investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Mr. Levy by performing regular, periodic reviews of Mr. Levy's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

### **Requirements for State Registered Advisors**

Mr. Levy has no additional disclosures to make under this requirement.

# Thomas P. Marron

7035 Campus Drive  
Colorado Springs, Co 80920  
719-278-9714

Presidential Brokerage, Inc.  
5445 DTC Parkway, Suite 1100  
Greenwood Village, Co 80111  
303-694-1600  
February 17, 2012

**This Brochure Supplement provides additional information about Mr. Marron not included in the Presidential Brokerage, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Tony Campen, at 800-230-1288 if you have not received Presidential's disclosure brochure or if you have any questions about the contents of this supplement.**

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

## **Educational Background and Business Experience**

- Mr. Marron was born in 1959
- Received an Associate's degree in Electronics from Everest College
- Has been employed with Presidential since September 1999; he is an Investment Adviser Representative, a Registered Representative and an Insurance Agent.

## **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

- No information is applicable to this Item.

## **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Mr. Marron is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, he also sells securities and insurance products in separate capacities as a registered representative and insurance agent, for which he receives sales commissions.

Some of the advice offered by advisory representatives involve investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges, sometimes referred to as a 12(b)-1 fee. The advisory representatives may receive a portion of the 12(b)-1 fee from some investment companies in their separate capacities as registered representatives. Clients should be aware that these 12(b)-1 fees come from fund assets, and thus, indirectly from clients' assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest. While the advisory representatives of Presidential endeavor at all times to put the interest of clients first as part of their fiduciary duty, clients should be aware that the receipt or potential receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of the advisory representatives when making recommendations.

### **Additional Compensation**

Mr. Marron does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

### **Supervision**

Mr. Marron's investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Mr. Marron by performing regular, periodic reviews of Mr. Marron's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

### **Requirements for State Registered Advisors**

Mr. Marron has no additional disclosures to make under this requirement.

# Marla A. Mason, CFP®

Presidential Brokerage, Inc.

5445 DTC Parkway, Suite 1100

Greenwood Village, Co 80111

303-694-1600

February 17, 2012

**This Brochure Supplement provides additional information about Ms. Mason not included in the Presidential Brokerage, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Tony Campen, at 800-230-1288 if you have not received Presidential's disclosure brochure or if you have any questions about the contents of this supplement.**

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

## **Educational Background and Business Experience**

- Ms. Mason was born in 1949
- Received a Bachelor of Science degree in Mathematics from California State University, Hayward and a Master of Science degree in International Business from Saint Mary's College
- Is a Certified Financial Planner™
- Has been employed with Presidential since November 2003; she is an Investment Adviser Representative, a Registered Representative and an Insurance Agent

The CFP® (Certified Financial Planner™) is a professional certification granted by the Certified Financial Planner™ Board of Standards, Inc. ("CFP® Board"). To attain the right to use the CFP® mark, an individual must attain a bachelor's degree from a U.S. college or university, complete a college level course of study covering financial planning topics, pass a comprehensive 10 hour exam, complete at least three years of full time financial planning experience, and agree to be bound by the CFP® Board's Standards of Professional Conduct. In addition, to maintain the right to continue to use the mark, an individual must complete 30 hours of continuing education every two years and continue to agree to be bound by the Standards of Professional Conduct.

## **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

- No information is applicable to this Item.

## **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Ms. Mason is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, she also sells securities and insurance products in separate capacities as a registered representative and insurance agent, for which she receives sales commissions.

Some of the advice offered by advisory representatives involve investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges, sometimes referred to as a 12(b)-1 fee. The advisory representatives may receive a portion of the 12(b)-1 fee from some investment companies in their separate capacities as registered representatives. Clients should be aware that these 12(b)-1 fees come from fund assets, and thus, indirectly from clients' assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest. While the advisory representatives of Presidential endeavor at all times to put the interest of clients first as part of their fiduciary duty, clients should be aware that the receipt or potential receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of the advisory representatives when making recommendations.

## **Additional Compensation**

Ms. Mason does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

## **Supervision**

Ms. Mason's investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Ms. Mason by performing regular, periodic reviews of Ms. Mason's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

## **Requirements for State Registered Advisors**

Ms. Mason has no additional disclosures to make under this requirement.

**Jason S. McBride**  
**Presidential Brokerage, Inc.**  
**5445 DTC Parkway, Suite 1100**  
**Greenwood Village, Co 80111**  
**303-694-1600**  
**February 17, 2012**

**This Brochure Supplement provides additional information about Mr. McBride not included in the Presidential Brokerage, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Tony Campen, at 800-230-1288 if you have not received Presidential's disclosure brochure or if you have any questions about the contents of this supplement.**

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

#### **Educational Background and Business Experience**

- Mr. McBride was born in 1967
- Has no post-secondary university education
- Has been employed with Presidential since January 1995; he is an Investment Adviser Representative, a Registered Representative and an Insurance Agent.

#### **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

- No information is applicable to this Item.

#### **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Mr. McBride is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, he also sells securities and insurance products in separate capacities as a registered representative and insurance agent, for which he receives sales commissions.

Some of the advice offered by advisory representatives involve investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges, sometimes referred to as a 12(b)-1 fee. The advisory representatives may receive a portion of the 12(b)-1 fee from some investment companies in their separate capacities

as registered representatives. Clients should be aware that these 12(b)-1 fees come from fund assets, and thus, indirectly from clients' assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest. While the advisory representatives of Presidential endeavor at all times to put the interest of clients first as part of their fiduciary duty, clients should be aware that the receipt or potential receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of the advisory representatives when making recommendations.

### **Additional Compensation**

Mr. McBride does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

### **Supervision**

Mr. McBride's investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Mr. McBride by performing regular, periodic reviews of Mr. McBride's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

### **Requirements for State Registered Advisors**

Mr. McBride has no additional disclosures to make under this requirement.

# Paul L. Nelson

11 E. Superior Drive, Suite 543

Duluth, Mn 55802

218-625-8740

Presidential Brokerage, Inc.

5445 DTC Parkway, Suite 1100

Greenwood Village, Co 80111

303-694-1600

February 17, 2012

**This Brochure Supplement provides additional information about Mr. Nelson not included in the Presidential Brokerage, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Tony Campen, at 800-230-1288 if you have not received Presidential's disclosure brochure or if you have any questions about the contents of this supplement.**

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

## **Educational Background and Business Experience**

- Mr. Nelson was born in 1951
- Received Bachelor of Science degrees in Mathematics and Business Administration from Concordia College
- Has been employed with Presidential since January 2008; he is an Investment Adviser Representative, a Registered Representative and an Insurance Agent
- Was employed with Merrill Lynch from February 1980 through November 2007 as an Investment Adviser Representative, a Registered Representative and an Insurance Agent.

## **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

- No information is applicable to this Item.

## **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Mr. Nelson is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, he also sells securities and insurance products



in separate capacities as a registered representative and insurance agent, for which he receives sales commissions.

Some of the advice offered by advisory representatives involve investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges, sometimes referred to as a 12(b)-1 fee. The advisory representatives may receive a portion of the 12(b)-1 fee from some investment companies in their separate capacities as registered representatives. Clients should be aware that these 12(b)-1 fees come from fund assets, and thus, indirectly from clients' assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest. While the advisory representatives of Presidential endeavor at all times to put the interest of clients first as part of their fiduciary duty, clients should be aware that the receipt or potential receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of the advisory representatives when making recommendations.

### **Additional Compensation**

Mr. Nelson does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

### **Supervision**

Mr. Nelson's investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Mr. Nelson by performing regular, periodic reviews of Mr. Nelson's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

### **Requirements for State Registered Advisors**

In 2003 Mr. Nelson, along with his prior firm, was named in an arbitration in which an award was granted with Mr. Nelson and his former firm being jointly and severally liable for \$400,000 in damages.

# **Matthew N. Pavich**

5920 Friars Road, Suite 206  
San Diego, Ca 92110  
619-684-1454

## **Presidential Brokerage, Inc.**

5445 DTC Parkway, Suite 1100  
Greenwood Village, Co 80111  
303-694-1600  
February 17, 2012

**This Brochure Supplement provides additional information about Mr. Pavich not included in the Presidential Brokerage, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Tony Campen, at 800-230-1288 if you have not received Presidential's disclosure brochure or if you have any questions about the contents of this supplement.**

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

### **Educational Background and Business Experience**

- Mr. Pavich was born in 1956
- Received a Bachelor of Science degree in Marketing from San Diego State University
- Has been employed with Presidential since January 2004; he is an Investment Adviser Representative, a Registered Representative and an Insurance Agent.

### **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. Information related to any disciplinary events can be found in the section titled "Requirements for State Registered Advisors."

### **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Mr. Pavich is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, he also sells securities and insurance products in separate capacities as a registered representative and insurance agent, for which he receives sales commissions.

Some of the advice offered by advisory representatives involve investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges, sometimes referred to as a 12(b)-1 fee. The advisory representatives may receive a portion of the 12(b)-1 fee from some investment companies in their separate capacities as registered representatives. Clients should be aware that these 12(b)-1 fees come from fund assets, and thus, indirectly from clients' assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest. While the advisory representatives of Presidential endeavor at all times to put the interest of clients first as part of their fiduciary duty, clients should be aware that the receipt or potential receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of the advisory representatives when making recommendations.

### **Additional Compensation**

Mr. Pavich does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

### **Supervision**

Mr. Pavich's investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Mr. Pavich by performing regular, periodic reviews of Mr. Pavich's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

### **Requirements for State Registered Advisors**

In 2007 Mr. Pavich entered into a consent to censure, a thirty day bar and requirement of cooperation with the NYSE. Without admitting or denying any wrongdoing, Mr. Pavich consented to findings that he: Caused a violation of NYSE Rule 405 by failing to complete new account documents for certain customers; failed to make and preserve certain required books and records; and sent out his newsletter without the prior approval of his firm in violation of industry rules.

It should be noted that there were no customer complaints related to this matter, nor were any customers harmed or otherwise economically disadvantaged.

**Kent W. Peterson**  
**Presidential Brokerage, Inc.**  
5445 DTC Parkway, Suite 1100  
Greenwood Village, Co 80111  
303-694-1600  
February 17, 2012

**This Brochure Supplement provides additional information about Mr. Peterson not included in the Presidential Brokerage, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Tony Campen, at 800-230-1288 if you have not received Presidential's disclosure brochure or if you have any questions about the contents of this supplement.**

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

#### **Educational Background and Business Experience**

- Mr. Peterson was born in 1946
- Attended the University of New Mexico and the University of Denver from 1966-1968
- Has been employed with Presidential since December 2003; he is an Investment Adviser Representative, a Registered Representative and an Insurance Agent.

#### **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

- No information is applicable to this Item.

#### **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Mr. Peterson is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, he also sells securities and insurance products in separate capacities as a registered representative and insurance agent, for which he receives sales commissions.

Some of the advice offered by advisory representatives involve investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges, sometimes referred to as a 12(b)-1 fee. The advisory representatives may receive a

portion of the 12(b)-1 fee from some investment companies in their separate capacities as registered representatives. Clients should be aware that these 12(b)-1 fees come from fund assets, and thus, indirectly from clients' assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest. While the advisory representatives of Presidential endeavor at all times to put the interest of clients first as part of their fiduciary duty, clients should be aware that the receipt or potential receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of the advisory representatives when making recommendations.

### **Additional Compensation**

Mr. Peterson does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

### **Supervision**

Mr. Peterson's investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Mr. Peterson by performing regular, periodic reviews of Mr. Peterson's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

### **Requirements for State Registered Advisors**

Mr. Peterson has no additional disclosures to make under this requirement.

# **Michele G. Savarese**

5920 Friars Road, Suite 206  
San Diego, Ca 92110  
619-684-1454

Presidential Brokerage, Inc.  
5445 DTC Parkway, Suite 1100  
Greenwood Village, Co 80111  
303-694-1600  
February 17, 2012

**This Brochure Supplement provides additional information about Mr. Savarese not included in the Presidential Brokerage, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Tony Campen, at 800-230-1288 if you have not received Presidential's disclosure brochure or if you have any questions about the contents of this supplement.**

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

## **Educational Background and Business Experience**

- Mr. Savarese was born in 1954
- Received a Bachelor of Science degree in Marketing from United States International University
- Has been employed with Presidential since May 1996; he is an Investment Adviser Representative, a Registered Representative and an Insurance Agent.

## **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

- No information is applicable to this Item.

## **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Mr. Savarese is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, he also sells securities and insurance products

in separate capacities as a registered representative and insurance agent, for which he receives sales commissions.

Some of the advice offered by advisory representatives involve investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges, sometimes referred to as a 12(b)-1 fee. The advisory representatives may receive a portion of the 12(b)-1 fee from some investment companies in their separate capacities as registered representatives. Clients should be aware that these 12(b)-1 fees come from fund assets, and thus, indirectly from clients' assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest. While the advisory representatives of Presidential endeavor at all times to put the interest of clients first as part of their fiduciary duty, clients should be aware that the receipt or potential receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of the advisory representatives when making recommendations.

### **Additional Compensation**

Mr. Savarese does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

### **Supervision**

Mr. Savarese's investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Mr. Savarese by performing regular, periodic reviews of Mr. Savarese's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

### **Requirements for State Registered Advisors**

In 1988 Mr. Savarese, while employed at a prior firm, was named in an arbitration in which an award was granted with Mr. Savarese and his former firm being jointly and severally liable for \$19,000 in damages.

**Michael W. Speer**  
Presidential Brokerage, Inc.  
5445 DTC Parkway, Suite 1100  
Greenwood Village, Co 80111  
303-694-1600  
February 17, 2012

**This Brochure Supplement provides additional information about Mr. Speer not included in the Presidential Brokerage, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Tony Campen, at 800-230-1288 if you have not received Presidential's disclosure brochure or if you have any questions about the contents of this supplement.**

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

#### **Educational Background and Business Experience**

- Mr. Speer was born in 1952
- Has no post-secondary university education
- Has been employed with Presidential since April 1996; he is an Investment Adviser Representative, a Registered Representative and an Insurance Agent.

#### **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. Information related to any disciplinary events can be found in the section titled "Requirements for State Registered Advisors."

#### **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Mr. Speer is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, he also sells securities and insurance products in separate capacities as a registered representative and insurance agent, for which he receives sales commissions.

Some of the advice offered by advisory representatives involve investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges, sometimes referred to as a 12(b)-1 fee. The advisory representatives may receive a portion of the 12(b)-1 fee from some investment companies in their separate capacities as registered representatives. Clients should be aware that these 12(b)-1 fees come



from fund assets, and thus, indirectly from clients' assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest. While the advisory representatives of Presidential endeavor at all times to put the interest of clients first as part of their fiduciary duty, clients should be aware that the receipt or potential receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of the advisory representatives when making recommendations.

### **Additional Compensation**

Mr. Speer does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

### **Supervision**

Mr. Speer's investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Mr. Speer by performing regular, periodic reviews of Mr. Speer's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

### **Requirements for State Registered Advisors**

In 2005, without admitting or denying any wrongdoing, Mr. Speer signed a letter of acceptance, Waiver and Consent with the NASD that he did not reasonably supervise the activities of two registered representatives who were employing trading strategies with customers located abroad resulting in a censure and \$5,000 fine.

The representatives had been utilizing discretion based on the customers' expressed verbal authorization but did not receive the authorization in writing to be approved by the firm. No customer complaints were involved nor were any customers harmed.

# **Robert E. Stanlick**

7035 Campus Drive  
Colorado Springs, Co 80920  
719-278-9712

Presidential Brokerage, Inc.  
5445 DTC Parkway, Suite 1100  
Greenwood Village, Co 80111  
303-694-1600  
February 17, 2012

**This Brochure Supplement provides additional information about Mr. Stanlick not included in the Presidential Brokerage, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Tony Campen, at 800-230-1288 if you have not received Presidential's disclosure brochure or if you have any questions about the contents of this supplement.**

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

## **Educational Background and Business Experience**

- Mr. Stanlick was born in 1964
- Received a Bachelor of Science degree in Mass Communications from Colorado State University, Pueblo
- Has been employed with Presidential since April 2003; he is an Investment Adviser Representative, a Registered Representative and an Insurance Agent.

## **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

- No information is applicable to this Item.

## **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Mr. Stanlick is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, he also sells securities and insurance products

in separate capacities as a registered representative and insurance agent, for which he receives sales commissions.

Some of the advice offered by advisory representatives involve investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges, sometimes referred to as a 12(b)-1 fee. The advisory representatives may receive a portion of the 12(b)-1 fee from some investment companies in their separate capacities as registered representatives. Clients should be aware that these 12(b)-1 fees come from fund assets, and thus, indirectly from clients' assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest. While the advisory representatives of Presidential endeavor at all times to put the interest of clients first as part of their fiduciary duty, clients should be aware that the receipt or potential receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of the advisory representatives when making recommendations.

### **Additional Compensation**

Mr. Stanlick does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

### **Supervision**

Mr. Stanlick's investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Mr. Stanlick by performing regular, periodic reviews of Mr. Stanlick's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

### **Requirements for State Registered Advisors**

In 2002 Mr. Stanlick filed a petition for Chapter 7 Bankruptcy as a result of costs associated with a family member's illness. This matter was discharged in March, 2003.

# Marilyn S. Weaver, PhD/CFP

Presidential Brokerage, Inc.  
5445 DTC Parkway, Suite 1100  
Greenwood Village, Co 80111  
303-694-1600  
February 17, 2012

**This Brochure Supplement provides additional information about Ms. Weaver not included in the Presidential Brokerage, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Tony Campen, at 800-230-1288 if you have not received Presidential's disclosure brochure or if you have any questions about the contents of this supplement.**

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

## **Educational Background and Business Experience**

- Ms. Weaver was born in 1953
- Received Bachelor of Science degrees in Physical Education and English from the University of Texas, a Master of Science degree in Recreation/Gerontology from the University of Oklahoma, and her PhD in Higher Education Administration from the University of Denver
- Is a Certified Financial Planner™
- Has been employed with Presidential since September 2001; she is an Investment Adviser Representative, a Registered Representative and an Insurance Agent

The CFP (Certified Financial Planner) is a professional certification granted by the Certified Financial Planner Board of Standards, Inc. ("CFP Board"). To attain the right to use the CFP mark, an individual must attain a bachelor's degree from a U.S. college or university, complete a college level course of study covering financial planning topics, pass a comprehensive 10 hour exam, complete at least three years of full time financial planning experience, and agree to be bound by the CFP Board's Standards of Professional Conduct. In addition, to maintain the right to continue to use the mark, an individual must complete 30 hours of continuing education every two years and continue to agree to be bound by the Standards of Professional Conduct.

## **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

- No information is applicable to this Item.

### **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Ms. Weaver is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, she also sells securities and insurance products in separate capacities as a registered representative and insurance agent, for which she receives sales commissions.

Some of the advice offered by advisory representatives involve investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges, sometimes referred to as a 12(b)-1 fee. The advisory representatives may receive a portion of the 12(b)-1 fee from some investment companies in their separate capacities as registered representatives. Clients should be aware that these 12(b)-1 fees come from fund assets, and thus, indirectly from clients' assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest. While the advisory representatives of Presidential endeavor at all times to put the interest of clients first as part of their fiduciary duty, clients should be aware that the receipt or potential receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of the advisory representatives when making recommendations.

### **Additional Compensation**

Ms. Weaver does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

### **Supervision**

Ms. Weaver's investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Ms. Weaver by performing regular, periodic reviews of Ms. Weaver's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

### **Requirements for State Registered Advisors**

Ms. Weaver has no additional disclosures to make under this requirement.

# Keith Weinman

8531 Sky Pond Drive, Unit E118  
Loveland, Co 80538

Presidential Brokerage, Inc.  
5445 DTC Parkway, Suite 1100  
Greenwood Village, Co 80111  
303-694-1600  
February 17, 2012

**This Brochure Supplement provides additional information about Mr. Weinman not included in the Presidential Brokerage, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Tony Campen, at 800-230-1288 if you have not received Presidential's disclosure brochure or if you have any questions about the contents of this supplement.**

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

## **Educational Background and Business Experience**

- Mr. Weinman was born in 1951
- Received a Bachelor of Science degree from Southern Illinois University with a Special Concentration Major consisting of Business, Broadcast Journalism and Marketing.
- Has been employed with Presidential since November 2010; he is an Investment Adviser Representative, a Registered Representative and an Insurance Agent.
- Was employed with Primerica from July 2010 through November 2010 as an Insurance Agent.
- Was employed with Clear Channel Radio from June 2003 through June 2010 as a Program Director/Talk Show Host.

## **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

- No information is applicable to this Item.

## **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Mr. Weinman is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, he also sells securities and insurance products in separate capacities as a registered representative and insurance agent, for which he receives sales commissions.

Some of the advice offered by advisory representatives involve investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges, sometimes referred to as a 12(b)-1 fee. The advisory representatives may receive a portion of the 12(b)-1 fee from some investment companies in their separate capacities as registered representatives. Clients should be aware that these 12(b)-1 fees come from fund assets, and thus, indirectly from clients' assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest. While the advisory representatives of Presidential endeavor at all times to put the interest of clients first as part of their fiduciary duty, clients should be aware that the receipt or potential receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of the advisory representatives when making recommendations.

### **Additional Compensation**

Mr. Weinman does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

### **Supervision**

Mr. Weinman's investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Mr. Weinman by performing regular, periodic reviews of Mr. Weinman's activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

### **Requirements for State Registered Advisors**

Mr. Weinman has no additional disclosures to make under this requirement.

**Gregory J. Williams**  
**Presidential Brokerage, Inc.**  
5445 DTC Parkway, Suite 1100  
Greenwood Village, Co 80111  
303-694-1600  
February 17, 2012

**This Brochure Supplement provides additional information about Mr. Williams not included in the Presidential Brokerage, Inc. disclosure brochure. You should have received a copy of that brochure. Please contact Chief Compliance Officer, Tony Campen, at 800-230-1288 if you have not received Presidential's disclosure brochure or if you have any questions about the contents of this supplement.**

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

### **Educational Background and Business Experience**

- Mr. Williams was born in 1956
- Received a Bachelor of Science degree in Business Administration from Western State College
- Has been employed with Presidential since April 2011; he is an Investment Adviser Representative, a Registered Representative and an Insurance Agent
- Was employed with Morgan Stanley Smith Barney from July 2005 through April 2011 as an Investment Adviser Representative, a Registered Representative and an Insurance Agent

### **Disciplinary Information**

Registered Investment Advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

- No information is applicable to this Item.

### **Other Business Activities**

In addition to being an Investment Adviser Representative for Presidential, Mr. Williams is also employed as a Registered Representative of the firm's Broker/Dealer and as an agent of its insurance agency. As such, he also sells securities and insurance products in separate capacities as a registered representative and insurance agent, for which he receives sales commissions.



Some of the advice offered by advisory representatives involve investments in mutual fund products. Load and no-load mutual funds may pay annual distribution charges, sometimes referred to as a 12(b)-1 fee. The advisory representatives may receive a portion of the 12(b)-1 fee from some investment companies in their separate capacities as registered representatives. Clients should be aware that these 12(b)-1 fees come from fund assets, and thus, indirectly from clients' assets. The receipt of these fees could represent an incentive for registered representatives to recommend funds with 12(b)-1 fees or higher 12(b)-1 fees over funds with no fees or lower fees, therefore creating a potential conflict of interest. While the advisory representatives of Presidential endeavor at all times to put the interest of clients first as part of their fiduciary duty, clients should be aware that the receipt or potential receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of the advisory representatives when making recommendations.

### **Additional Compensation**

Mr. Williams does not receive economic benefit from any person or entity other than Presidential in connection with providing investment advice to clients.

### **Supervision**

Mr. Williams' investment recommendations and activities are supervised by the firm's Compliance Department. The Chief Compliance Officer supervises Mr. Williams by performing regular, periodic reviews of Mr. Williams' activity to ensure adherence to the policies and procedures set forth in Presidential's Compliance Manual as well as compliance with applicable legal and regulatory requirements.

The Chief Compliance Officer is Tony Campen and can be reached at 800-230-1288 or at [acampen@presidentialbrokerage.com](mailto:acampen@presidentialbrokerage.com).

### **Requirements for State Registered Advisors**

Mr. Williams has no additional disclosures to make under this requirement.