

# ERIC A. HOLLEN

HOLLEN FINANCIAL PLANNING, LTD  
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**This brochure provides supplemental information about Eric A. Hollen (“Eric Hollen”). This supplements the Hollen Financial Planning, LTD brochure, which should have also been provided to you. Please contact Joseph R. Hollen at Hollen Financial Planning, LTD if you need the Hollen Financial Planning, LTD brochure or if you have any questions.**

**Additional information about Hollen Financial Planning, LTD is also available at the SEC’s website [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) (click on the link, select “investment adviser firm” and type in our firm name). Results will provide you both Part 1 and 2 of our Form ADV.**



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## ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

### 2.A: INDIVIDUAL

**Eric A. Hollen**

Year Born: 1985

### 2.B: EDUCATIONAL BACKGROUND

B.S., Finance, Economics – University of Nevada at Reno (2009)

### 2.C: BUSINESS BACKGROUND

12/2011 – Present: *Investment Advisor Representative*, Hollen Financial Planning, LTD

09/2011 – 12/2011: *Administrative Assistant*, Hollen Financial Planning, LTD

08/2009 – Present: *Owner*, Clear Version Reports & Consulting

### 2.D: PROFESSIONAL QUALIFICATIONS

Series 65, Uniform Investment Adviser Law Examination (2011)

## ITEM 3 – DISCIPLINARY INFORMATION

Eric Hollen has no legal or disciplinary events that are material to you or a prospective client's evaluation of this advisory business.

## ITEM 4 – OTHER BUSINESS ACTIVITIES

The principal business of Hollen Financial Planning, LTD is that of a registered investment advisor and provider of financial planning services.

## ITEM 5 – ADDITIONAL COMPENSATION

Other than work with Hollen Financial Planning, LTD and any disclosures made in Items 2 and 4 above, Eric Hollen receives no additional compensation related to outside business activities.

## ITEM 6 – SUPERVISION

Eric Hollen is not a supervising authority at Hollen Financial Planning, LTD but does work closely with and is monitored by the supervising member of the firm. The supervising member is Joseph Hollen; who remains aware of and keeps us in compliance with the current rules and regulations put forth by each ruling regulatory authority where we conduct our business. Hollen Financial Planning, LTD has established internal policies for the guidance of its trading personnel, specifying minimum and maximum commissions to be paid for various types and sizes of transactions. Transactions, which vary from the guidelines, are subject to periodic supervisory review. These guidelines are reviewed yearly and periodically adjusted. The general level of brokerage commissions paid is periodically reviewed by Hollen Financial Planning, LTD. Evaluations of the reasonableness of brokerage commissions are made by Hollen Financial Planning, LTD's trading personnel while effecting portfolio transactions for clients.

Hollen Financial Planning, LTD maintains and periodically updates a list of approved brokers and dealers, which is generally capable of providing best price and execution and is financially stable. Hollen Financial Planning, LTD's traders are directed to use only brokers and dealers on the approved list, except in the case of client designations of brokers or dealers to effect transactions for such clients' accounts.

Joseph Hollen is located at 4741 Caughlin Parkway, Suite 3, Reno, Nevada 89519 and can be reached by calling (775) 827-0670.

## ITEM 7 – REQUIREMENTS FOR STATE REGISTERED ADVISORS

*State securities authorities require this disclosure and it is provided to you for evaluating this investment advisor representative's suitability.*

Other than any disclosures made in Item 3 above, Eric Hollen has not been found liable in any additional arbitration or liable in a civil, self-regulatory organization, or administrative proceeding involving an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Eric Hollen has never been the subject of a bankruptcy petition.