

C. Scott Akers, Jr.  
Phone: (404) 364-2124

## Register Financial Advisors, LLC

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CRD # 1013628

February 21, 2012

This brochure supplement provides information about C. Scott Akers, Jr. that supplements the Register Financial Advisors, LLC brochure. You should have received a copy of that brochure. Please contact Scott Register at (404) 364-2180 if you did not receive Register Financial Advisors, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about C. Scott Akers, Jr. is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

### Item 2 - Educational Background and Business Experience

C. Scott Akers, Jr., b. 1950

#### Educational Background

University of Georgia, BBA (1973)

Georgia State University, MBA (1974)

#### Business Experience

Firm	Position	Dates
Register Financial Advisors	Investment Advisor	2007-Present
Register & Akers Investments	Registered Representative	1997-Present

### Item 3 - Disciplinary Information

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

### Item 4 - Other Business Activities

Mr. Akers is a Registered Representative of Register Financial Associates, Inc., a registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. Approximately 90% of his income is derived from these non-advisory activities. This may pose a conflict of interest to the extent that he has a financial incentive to recommend securities and other investments that may result in commissions,

brokerage fees, 12b-1 fees or other payments. However, he is constrained by fiduciary principles to act in his client's best interest.

Mr. Akers is involved in the marketing of two private funds for Register Financial Advisors, LLC: Plymouth Rock Fund, LP and The Marlin Fund, LP. Compensation is provided through Register Financial Associates, Inc., the affiliated broker-dealer. He also has personal investments in real estate, private investment funds (i.e. hedge funds), and private company investments. No outside earned income is derived from these activities. Mr. Akers is also the founder and Principal of the Hedge Fund Databanc, LLC, a fund of funds research firm. He spends approximately 10 hour per week in this capacity.

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

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

### **Item 6 - Supervision**

Quarterly, Mr. Akers completes a review worksheet or checklist for all client accounts. The reviews include an examination of the client's investment objectives, portfolio allocation, suitability, any concentrated positions, number of trades, and performance of the client's account versus an appropriate index. Scott Register, Chief Compliance Officer, is responsible for reviewing these reports and providing supervisory oversight. He may be reached at (404) 364-2180.

### **Item 7 - Requirements for State-Registered Advisers**

Investment Advisor Representatives are required to disclose all material facts regarding certain arbitration awards, disciplinary proceedings and bankruptcy petitions. Mr. Akers has no information applicable to this Item.

# Cynthia S. Brueckman

## Register Financial Advisors, LLC

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CRD # 2680268

February 21, 2012

This brochure supplement provides information about Cynthia S. Brueckman that supplements the Register Financial Advisors, LLC brochure. You should have received a copy of that brochure. Please contact Scott Register at (404) 364-2180 if you did not receive Register Financial Advisors, LLC's brochure or if you have any questions about the contents of this supplement.

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

### Item 2 - Educational Background and Business Experience

Cynthia S. Brueckman, b. 1967

#### Educational Background

Rochester Institute of Technology, BS

Fairleigh Dickinson University, ABA Certificate in Paralegal Studies

#### Business Experience

<b>Firm</b>	<b>Position</b>	<b>Dates</b>
Register Financial Advisors, LLC	Investment Advisor	2010-Present
Register Financial Associates, Inc.	Registered Representative	2010-Present
E*Trade Capital Management, LLC	Executive Services Specialist	2009-2010
E*Trade Securities, LLC	Executive Services Specialist	2009-2010
Principal Life Insurance Company	Account Executive	2008-2009
Princor Financial Services Corporation	Registered Representative	2008-2009
AXA Advisors, LLC	Consultant	2004-2008

### Item 3 - Disciplinary Information

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

### Item 4 - Other Business Activities

Ms. Brueckman is a Registered Representative of Register Financial Associates, Inc., a registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment

products and trails received from the sale of mutual funds. Ms. Brueckman is also licensed to sell variable annuities and life insurance in GA. Approximately 90% of her income is derived from these non-advisory activities.

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

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

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

### **Item 6 - Supervision**

Quarterly, Ms. Brueckman completes a review worksheet or checklist for all client accounts. The reviews include an examination of the client's investment objectives, portfolio allocation, suitability, any concentrated positions, number of trades, and performance of the client's account versus an appropriate index. Scott Register, Chief Compliance Officer, is responsible for reviewing these reports and providing supervisory oversight. He may be reached at (404) 364-2180.

### **Item 7 - Requirements for State-Registered Advisers**

Investment Advisor Representatives are required to disclose all material facts regarding certain arbitration awards, disciplinary proceedings and bankruptcy petitions. Ms. Brueckman has no information applicable to this Item.

Robert E. Butler  
Phone: (404) 812-5881

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CRD # 1492176

February 21, 2012

This brochure supplement provides information about Robert E. Butler that supplements the Register Financial Advisors, LLC brochure. You should have received a copy of that brochure. Please contact Scott Register at (404) 364-2180 if you did not receive Register Financial Advisors, LLC's brochure or if you have any questions about the contents of this supplement.

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

### Item 2 - Educational Background and Business Experience

Robert E. Butler, b. 1946

#### Educational Background

Kent State University – BBA, Economics

University of Illinois – MBA, Finance

#### Business Experience

Firm	Position	Dates
Register Financial Advisors, LLC	Investment Advisor	2009-Present
Register Financial Associates, Inc.	Registered Representative	2009-Present
UBS Financial Services, Inc.	Financial Advisor	1986-2009

### Item 3 - Disciplinary Information

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

### Item 4 - Other Business Activities

Mr. Butler is a Registered Representative of Register Financial Associates, Inc., a registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. Approximately two-thirds of his income is derived from these non-advisory activities.

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

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

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

### **Item 6 - Supervision**

Quarterly, Mr. Butler completes a review worksheet or checklist for all client accounts. The reviews include an examination of the client's investment objectives, portfolio allocation, suitability, any concentrated positions, number of trades, and performance of the client's account versus an appropriate index. Scott Register, Chief Compliance Officer, is responsible for reviewing these reports and providing supervisory oversight. He may be reached at (404) 364-2180.

### **Item 7 - Requirements for State-Registered Advisers**

Investment Advisor Representatives are required to disclose all material facts regarding certain arbitration awards, disciplinary proceedings and bankruptcy petitions. Mr. Butler has no information applicable to this Item.

Thomas E. Corrigan  
Phone: (404) 364-2180

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CRD # 1015196

February 21, 2012

This brochure supplement provides information about Thomas E. Corrigan that supplements the Register Financial Advisors, LLC brochure. You should have received a copy of that brochure. Please contact Scott Register at (404) 364-2180 if you did not receive Register Financial Advisors, LLC's brochure or if you have any questions about the contents of this supplement.

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

## Item 2 - Educational Background and Business Experience

Thomas E. Corrigan, b. 1955

### Educational Background

University of Arizona, BS – Marketing (1979)

Nassau Community College, AS – Liberal Arts (1975)

### Business Experience

Firm	Position	Dates
Register Financial Advisors	Investment Advisor	2011-Present
Register Financial Associates	Registered Representative	2011-Present
JP Morgan Securities	Financial Advisor	2004-2011
Bear, Stearns & Co.	Account Executive	2004-2005
Oppenheimer & Co.	Registered Rep/Inv. Advisor	2003-2004

## Item 3 - Disciplinary Information

Investment Advisor Representatives are required to disclose all material facts regarding any legal and disciplinary events would be material to your evaluation of the representative. Mr. Corrigan does not have anything to disclose for this section.

## Item 4 - Other Business Activities

Mr. Corrigan is a Registered Representative of Register Financial Associates, Inc., a registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment

products and trails received from the sale of mutual funds. Approximately 90% of his income is derived from these non-advisory activities. This may pose a conflict of interest to the extent that he has a financial incentive to recommend securities and other investments that may result in commissions, brokerage fees, 12b-1 fees or other payments. However, he is constrained by fiduciary principles to act in his client's best interest.

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

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

### **Item 6 - Supervision**

Quarterly, Mr. Corrigan completes a review worksheet or checklist for all client accounts. The reviews include an examination of the client's investment objectives, portfolio allocation, suitability, any concentrated positions, number of trades, and performance of the client's account versus an appropriate index. Scott Register, Chief Compliance Officer, is responsible for reviewing these reports and providing supervisory oversight. He may be reached at (404) 364-2180.

### **Item 7 - Requirements for State-Registered Advisers**

Investment Advisor Representatives are required to disclose all material facts regarding certain arbitration awards, disciplinary proceedings and bankruptcy petitions. Mr. Corrigan has no information applicable to this Item.



David R. Gouzie  
Phone: (404) 812-5875

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CRD # 803925

February 21, 2012

This brochure supplement provides information about David R. Gouzie that supplements the Register Financial Advisors, LLC brochure. You should have received a copy of that brochure. Please contact Scott Register at (404) 364-2180 if you did not receive Register Financial Advisors, LLC's brochure or if you have any questions about the contents of this supplement.

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

## Item 2 - Educational Background and Business Experience

David R. Gouzie, b. 1949

### Educational Background

Attended classes at Ohio State University (1967-1971)

### Business Experience

<b>Firm</b>	<b>Position</b>	<b>Dates</b>
Register Financial Advisors	Investment Advisor	2008-Present
Register Financial Associates, Inc.	Registered Representative	2008-Present
Citigroup Global Markets, Inc.	Financial Advisor	1986-2008
Merrill Lynch	Financial Advisor	1975-1986

## Item 3 - Disciplinary Information

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

## Item 4 - Other Business Activities

Mr. Gouzie is a Registered Representative of Register Financial Associates, Inc., a registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. Approximately 10% of his income is derived from these non-advisory activities.

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

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

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

### **Item 6 - Supervision**

Quarterly, Mr. Gouzie completes a review worksheet or checklist for all client accounts. The reviews include an examination of the client's investment objectives, portfolio allocation, suitability, any concentrated positions, number of trades, and performance of the client's account versus an appropriate index. Scott Register, Chief Compliance Officer, is responsible for reviewing these reports and providing supervisory oversight. He may be reached at (404) 364-2180.

### **Item 7 - Requirements for State-Registered Advisers**

Investment Advisor Representatives are required to disclose all material facts regarding certain arbitration awards, disciplinary proceedings and bankruptcy petitions. Mr. Gouzie has no information applicable to this Item.

John D. Hall, II  
Phone: (404) 812-5899

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CRD # 852522

February 21, 2012

This brochure supplement provides information about John D. Hall, II that supplements the Register Financial Advisors, LLC brochure. You should have received a copy of that brochure. Please contact Scott Register at (404) 364-2180 if you did not receive Register Financial Advisors, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about John D. Hall, II is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 - Educational Background and Business Experience

John D. Hall, II, b. 1947

### Educational Background

Wingate University – AS, Accounting

East Tennessee State University – BS and MBA, Economics and Finance

### Business Experience

<b>Firm</b>	<b>Position</b>	<b>Dates</b>
Register Financial Advisors, LLC	Investment Advisor	2009-Present
Register Financial Associates, Inc.	Registered Representative	2009-Present
UBS Financial Services, Inc.	Financial Advisor	1995-2009

## Item 3 - Disciplinary Information

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

## Item 4 - Other Business Activities

Mr. Hall is a Registered Representative of Register Financial Associates, Inc., a registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products

and trails received from the sale of mutual funds. Mr. Hall is also licensed to sell variable annuities and life insurance in GA. Approximately 2% of his income is derived from these non-advisory activities.

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

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

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

### **Item 6 - Supervision**

Quarterly, Mr. Hall completes a review worksheet or checklist for all client accounts. The reviews include an examination of the client's investment objectives, portfolio allocation, suitability, any concentrated positions, number of trades, and performance of the client's account versus an appropriate index. Scott Register, Chief Compliance Officer, is responsible for reviewing these reports and providing supervisory oversight. He may be reached at (404) 364-2180.

### **Item 7 - Requirements for State-Registered Advisers**

Investment Advisor Representatives are required to disclose all material facts regarding certain arbitration awards, disciplinary proceedings and bankruptcy petitions. Mr. Hall has no information applicable to this Item.

**Andrew Scott May, CFP®**

Phone: (404) 364-2183

**Register Financial Advisors, LLC**

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Atlanta, GA 30326

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CRD # 2410297

February 21, 2012

**This brochure supplement provides information about Andrew Scott May that supplements the Register Financial Advisors, LLC brochure. You should have received a copy of that brochure. Please contact Scott Register at (404) 364-2180 if you did not receive Register Financial Advisors, LLC's brochure or if you have any questions about the contents of this supplement.**

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

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

Andrew Scott May, b. 1968

### Educational Background

Tulane University, A.B. Freeman School of Business – BS in Management (BSM)

University of Texas at Austin, McCombs School of Business – Master of Business Administration (MBA)

CERTIFIED FINANCIAL PLANNER™ (CFP®)

Certified in Long-Term Care (CLTC)

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

Certified in Long-Term Care (CLTC) is a designation granted by the Corporation for Long-Term Care Certification, Inc. CLTC graduates have completed a multidisciplinary course that focuses on the profession of long-term care. Students are required to pass a written exam and must be in good standing with their state insurance authority.

#### Business Experience

<b>Firm</b>	<b>Position</b>	<b>Dates</b>
Register Financial Advisors, LLC	Investment Advisor	2008-Present
Register Financial Associates, Inc.	Registered Representative	2008-Present
Triad Advisor, Inc.	Registered Representative	2005-2008
Chitwood Advisory Group	Investment Advisor	2005-2008

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

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

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

Mr. May is a Registered Representative of Register Financial Associates, Inc., a registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. Mr. May is also licensed to sell variable annuities and life insurance in GA and AL. Approximately 1% of his income is derived from these non-advisory activities.

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

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

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

### **Item 6 - Supervision**

Quarterly, Mr. May completes a review worksheet or checklist for all client accounts. The reviews include an examination of the client's investment objectives, portfolio allocation, suitability, any concentrated positions, number of trades, and performance of the client's account versus an appropriate index. Scott Register, Chief Compliance Officer, is responsible for reviewing these reports and providing supervisory oversight. He may be reached at (404) 364-2180.

### **Item 7 - Requirements for State-Registered Advisers**

Investment Advisor Representatives are required to disclose all material facts regarding certain arbitration awards, disciplinary proceedings and bankruptcy petitions. Mr. May has no information applicable to this Item.

Robert N. Nix, CFP®, ChFC®

## Register Financial Advisors, LLC

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CRD # 1512669

February 21, 2012

**This brochure supplement provides information about Robert N. Nix that supplements the Register Financial Advisors, LLC brochure. You should have received a copy of that brochure. Please contact Scott Register at (404) 364-2180 if you did not receive Register Financial Advisors, LLC's brochure or if you have any questions about the contents of this supplement.**

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

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

Robert N. Nix, b. 1963

#### Educational Background

University of Virginia – BA, History (1985)

CERTIFIED FINANCIAL PLANNER™ - CFP® (1993)

The American College – ChFC® (2001)

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

The Chartered Financial Consultant® (ChFC®) designation is issued by The American College. Prerequisite experience includes 3 years of full time business experience within the 5 years preceding the award of the designation. Candidates are required to complete 7 core and 2 elective courses and

pass a final proctored exam for each course. Certified individuals abide by a Code of Ethics and complete 30 hours of continuing education every 2 years.

#### Business Experience

<b>Firm</b>	<b>Position</b>	<b>Dates</b>
Register Financial Advisors, LLC	Investment Advisor	2007-Present
Register Financial Associates, Inc.	Registered Representative	2007-Present
ProEquities, Inc.	Registered Representative	2002-2007

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

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

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

Mr. Nix is a Registered Representative of Register Financial Associates, Inc., a registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. Mr. Nix is also licensed to sell variable annuities and life insurance in GA, FL and TN. Approximately 90% of his income is derived from these non-advisory activities.

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

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

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

### **Item 6 - Supervision**

Quarterly, Mr. Nix completes a review worksheet or checklist for all client accounts. The reviews include an examination of the client's investment objectives, portfolio allocation, suitability, any concentrated positions, number of trades, and performance of the client's account versus an appropriate index. Scott Register, Chief Compliance Officer, is responsible for reviewing these reports and providing supervisory oversight. He may be reached at (404) 364-2180.

### **Item 7 - Requirements for State-Registered Advisers**

Investment Advisor Representatives are required to disclose all material facts regarding certain arbitration awards, disciplinary proceedings and bankruptcy petitions. Mr. Nix has no information applicable to this Item.



John V. Noonan  
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Atlanta, GA 30326  
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CRD # 3146349

February 21, 2012

This brochure supplement provides information about John V. Noonan that supplements the Register Financial Advisors, LLC brochure. You should have received a copy of that brochure. Please contact Scott Register at (404) 364-2180 if you did not receive Register Financial Advisors, LLC's brochure or if you have any questions about the contents of this supplement.

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

## Item 2 - Educational Background and Business Experience

John V. Noonan, b. 1974

### Educational Background

University of Georgia – BA, Economics

### Business Experience

<b>Firm</b>	<b>Position</b>	<b>Dates</b>
Register Financial Associates, Inc.	Registered Representative	2008-Present
Citigroup Global Markets, Inc.	Registered Associate	2004-2008

## Item 3 - Disciplinary Information

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

## Item 4 - Other Business Activities

Mr. Noonan is a Registered Representative of Register Financial Associates, Inc., a registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. Approximately 75% of his income is derived from these non-advisory activities. This may pose a conflict of interest to the extent that he has a financial incentive to recommend securities and other investments that may result in commissions,

brokerage fees, 12b-1 fees or other payments. However, he is constrained by fiduciary principles to act in his client's best interest.

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

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

### **Item 6 - Supervision**

Quarterly, Mr. Noonan completes a review worksheet or checklist for all client accounts. The reviews include an examination of the client's investment objectives, portfolio allocation, suitability, any concentrated positions, number of trades, and performance of the client's account versus an appropriate index. Scott Register, Chief Compliance Officer, is responsible for reviewing these reports and providing supervisory oversight. He may be reached at (404) 364-2180.

### **Item 7 - Requirements for State-Registered Advisers**

Investment Advisor Representatives are required to disclose all material facts regarding certain arbitration awards, disciplinary proceedings and bankruptcy petitions. Mr. Noonan has no information applicable to this Item.

David B. Pressly  
Phone: (404) 261-3712

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CRD # 4147342

February 21, 2012

This brochure supplement provides information about David B. Pressly that supplements the Register Financial Advisors, LLC brochure. You should have received a copy of that brochure. Please contact Scott Register at (404) 364-2180 if you did not receive Register Financial Advisors, LLC's brochure or if you have any questions about the contents of this supplement.

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

### Item 2 - Educational Background and Business Experience

David B. Pressly, b. 1974

#### Educational Background

University of Maryland, BA, Journalism

#### Business Experience

<b>Firm</b>	<b>Position</b>	<b>Dates</b>
Register Financial Advisors	Investment Advisor	2011-Present
Register Financial Associates	Registered Representative	2011-Present
Morgan Stanley Smith Barney	Registered Rep/Inv. Advisor	2008-2011
UBS Financial Services, Inc.	Registered Rep/Inv. Advisor	2006-2008
Merrill Lynch	Registered Rep/Inv. Advisor	2000-2006

### Item 3 - Disciplinary Information

Investment Advisor Representatives are required to disclose all material facts regarding any legal and disciplinary events would be material to your evaluation of the representative. Mr. Pressly does not have anything to disclose for this section.

### Item 4 - Other Business Activities

Mr. Pressly is a Registered Representative of Register Financial Associates, Inc., a registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. Approximately 95% of his income is derived

from these non-advisory activities. This may pose a conflict of interest to the extent that he has a financial incentive to recommend securities and other investments that may result in commissions, brokerage fees, 12b-1 fees or other payments. However, he is constrained by fiduciary principles to act in his client's best interest.

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

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

### **Item 6 - Supervision**

Quarterly, Mr. Pressly completes a review worksheet or checklist for all client accounts. The reviews include an examination of the client's investment objectives, portfolio allocation, suitability, any concentrated positions, number of trades, and performance of the client's account versus an appropriate index. Scott Register, Chief Compliance Officer, is responsible for reviewing these reports and providing supervisory oversight. He may be reached at (404) 364-2180.

### **Item 7 - Requirements for State-Registered Advisers**

Investment Advisor Representatives are required to disclose all material facts regarding certain arbitration awards, disciplinary proceedings and bankruptcy petitions. Mr. Pressly has no information applicable to this Item.

# Scott Register

## Register Financial Advisors, LLC

3500 Lenox Road, Suite 1700

Atlanta, GA 30326

Phone: (404) 364-2180

Fax: (404) 364-2182

CRD # 5239767

February 21, 2012

This brochure supplement provides information about Scott Register that supplements the Register Financial Advisors, LLC brochure. You should have received a copy of that brochure. Please contact Scott Register at (404) 364-2180 if you did not receive Register Financial Advisors, LLC's brochure or if you have any questions about the contents of this supplement.

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

### Item 2 - Educational Background and Business Experience

Scott Register, b. 1973

#### Educational Background

Lynn University – BS (1996)

Lynn University – MBA (2000)

#### Business Experience

<b>Firm</b>	<b>Position</b>	<b>Dates</b>
Register Financial Advisors	Investment Advisor	2007-Present
Register Financial Associates, Inc.	Registered Representative	2006-Present
NGA Hooters Golf Tour	Operations Director	1998-2008
Sage Southeastern Securities, Inc.	Registered Representative	2008-2010
Lafise Securities Corp.	Muni Principal	2008-2010

### Item 3 - Disciplinary Information

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

### Item 4 - Other Business Activities

Mr. Register is a Registered Representative of Register Financial Associates, Inc., a registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. Approximately 50% of his income is derived from these non-advisory activities.

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

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

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

### **Item 6 - Supervision**

Quarterly, Mr. Register completes a review worksheet or checklist for all client accounts. The reviews include an examination of the client's investment objectives, portfolio allocation, suitability, any concentrated positions, number of trades, and performance of the client's account versus an appropriate index. George Register, CEO, is responsible for reviewing these reports and providing supervisory oversight. He may be reached at (404) 364-2180.

### **Item 7 - Requirements for State-Registered Advisers**

Investment Advisor Representatives are required to disclose all material facts regarding certain arbitration awards, disciplinary proceedings and bankruptcy petitions. Mr. Register has no information applicable to this Item.

Blair I. Rothstein  
Phone: (404) 364-2121

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This brochure supplement provides information about Blair I. Rothstein that supplements the Register Financial Advisors, LLC brochure. You should have received a copy of that brochure. Please contact Scott Register at (404) 364-2180 if you did not receive Register Financial Advisors, LLC's brochure or if you have any questions about the contents of this supplement.

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

## Item 2 - Educational Background and Business Experience

Blair I. Rothstein, b. 1977

### Educational Background

University of Michigan – BA, Economics, BA History  
Tulane University Law School – JD

### Business Experience

Firm	Position	Dates
Register Financial Associates, Inc.	Registered Representative	2006-Present

## Item 3 - Disciplinary Information

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

## Item 4 - Other Business Activities

Mr. Rothstein is a Registered Representative of Register Financial Associates, Inc., a registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. Approximately 50% of his income is derived from these non-advisory activities.

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

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

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

### **Item 6 - Supervision**

Quarterly, Mr. Rothstein completes a review worksheet or checklist for all client accounts. The reviews include an examination of the client's investment objectives, portfolio allocation, suitability, any concentrated positions, number of trades, and performance of the client's account versus an appropriate index. Scott Register, Chief Compliance Officer, is responsible for reviewing these reports and providing supervisory oversight. He may be reached at (404) 364-2180.

### **Item 7 - Requirements for State-Registered Advisers**

Investment Advisor Representatives are required to disclose all material facts regarding certain arbitration awards, disciplinary proceedings and bankruptcy petitions. Mr. Rothstein has no information applicable to this Item.



# Andrew Serafen

## Register Financial Advisors, LLC

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CRD # 2653882

February 21, 2012

This brochure supplement provides information about Andrew Serafen that supplements the Register Financial Advisors, LLC brochure. You should have received a copy of that brochure. Please contact Scott Register at (404) 364-2180 if you did not receive Register Financial Advisors, LLC's brochure or if you have any questions about the contents of this supplement.

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

### Item 2 - Educational Background and Business Experience

Andrew Serafen, b. 1962

#### Educational Background

Ithaca College – BS, Business Management (1984)

#### Business Experience

<b>Firm</b>	<b>Position</b>	<b>Dates</b>
Register Financial Advisors, LLC	Investment Advisor	2008-Present
Register Financial Associates, Inc.	Registered Representative	2008-Present
Citigroup Global Markets, Inc.	Financial Advisor	1994-2008

### Item 3 - Disciplinary Information

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

### Item 4 - Other Business Activities

Mr. Serafen is a Registered Representative of Register Financial Associates, Inc., a registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. Approximately 70% of his income is derived from these non-advisory activities.

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

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

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

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

Quarterly, Mr. Serafen completes a review worksheet or checklist for all client accounts. The reviews include an examination of the client's investment objectives, portfolio allocation, suitability, any concentrated positions, number of trades, and performance of the client's account versus an appropriate index. Scott Register, Chief Compliance Officer, is responsible for reviewing these reports and providing supervisory oversight. He may be reached at (404) 364-2180.

#### **Item 7 - Requirements for State-Registered Advisers**

Investment Advisor Representatives are required to disclose all material facts regarding certain arbitration awards, disciplinary proceedings and bankruptcy petitions. Mr. Serafen has no information applicable to this Item.

Brian Sullivan, CFP®  
Phone: (404) 364-2122

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February 21, 2012

**This brochure supplement provides information about Brian Sullivan that supplements the Register Financial Advisors, LLC brochure. You should have received a copy of that brochure. Please contact Scott Register at (404) 364-2180 if you did not receive Register Financial Advisors, LLC's brochure or if you have any questions about the contents of this supplement.**

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

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

Brian Sullivan, b. 1962

### Educational Background

Hamilton College – BS, Political Science  
Kennesaw State University – MBA, Finance  
CERTIFIED FINANCIAL PLANNER™ (CFP®)

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

### Business Experience

<b>Firm</b>	<b>Position</b>	<b>Dates</b>
Register Financial Advisors, LLC	Investment Advisor	2010-Present
Register Financial Associates, Inc.	Registered Representative	2010-Present
Merrill Lynch, Pierce, Fenner & Smith Inc.	Financial Advisor	2009-2010
Banc of America Investment Services, Inc.	Representative	1998-2009
Banc of America Insurance Services, Inc.	Financial Advisor	1998-2009

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

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

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

Mr. Sullivan is a Registered Representative of Register Financial Associates, Inc., a registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. Mr. Sullivan is also licensed to sell variable annuities and life insurance in GA. Approximately 50% of his time is derived from these non-advisory activities.

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

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

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

### **Item 6 - Supervision**

Quarterly, Mr. Sullivan completes a review worksheet or checklist for all client accounts. The reviews include an examination of the client's investment objectives, portfolio allocation, suitability, any concentrated positions, number of trades, and performance of the client's account versus an appropriate index. Scott Register, Chief Compliance Officer, is responsible for reviewing these reports and providing supervisory oversight. He may be reached at (404) 364-2180.

### **Item 7 - Requirements for State-Registered Advisers**

Investment Advisor Representatives are required to disclose all material facts regarding certain arbitration awards, disciplinary proceedings and bankruptcy petitions. Mr. Sullivan has no information applicable to this Item.

Travis Weitz, CFA®

Phone: (404) 364-2870

## Register Financial Advisors, LLC

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CRD # 4429494

February 21, 2012

This brochure supplement provides information about Travis Weitz that supplements the Register Financial Advisors, LLC brochure. You should have received a copy of that brochure. Please contact Scott Register at (404) 364-2180 if you did not receive Register Financial Advisors, LLC's brochure or if you have any questions about the contents of this supplement.

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

### Item 2 - Educational Background and Business Experience

Travis Weitz, b. 1976

#### Educational Background

University of Texas at Austin – BA, Psychology

CFA® Charterholder

The Chartered Financial Analyst® (CFA®) designation is issued by the CFA Institute after candidates pass three course exams involving 250 hours of self-study time for each of the three levels. In order to qualify to sit for the exams, candidates must have an undergraduate degree or four years of qualified professional experience or a combination of work and college experience that totals at least four years. Candidates are also required to sign a Professional Conduct Statement and a Candidate Responsibility Statement.

#### Business Experience

Firm	Position	Dates
Register Financial Advisors, LLC	Investment Advisor	2007-Present
Register Financial Associates, Inc.	Registered Representative	2000-Present

### Item 3 - Disciplinary Information

In 2009 and in his role as a research analyst, Mr. Weitz participated in writing a newsletter that he believed, at the time, to be an advertising piece. Included in the newsletter was a "stock pick" section that contained an opinion on an individual stock. Since it was not deemed to be research, the

newsletter did not include all the disclosures that are required for a research report. FINRA did deem it to be research and found Mr. Weitz and Register Financial in violation of Rule 501(A) of Regulation AC and NASD Rules 2110, 2210 and 2711. Without admitting or denying the violations, and on the advice of an attorney, Mr. Weitz signed an acceptance, waiver and consent with FINRA. As a result, Mr. Weitz was fined \$10,000 and suspended from association with any FINRA member in any capacity for 30 days.

These violations were completely unintentional and resulted in no monetary gain for Mr. Weitz or the firm. There was never any intention to deceive. Mr. Weitz holds himself to the highest ethical standards and would not take any action that could harm a client or the investing public.

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

Mr. Weitz is a Registered Representative of Register Financial Associates, Inc., a registered broker-dealer, and is compensated through commissions based on the sale of securities and other investment products and trails received from the sale of mutual funds. Approximately 10% of his income is derived from these non-advisory activities. This may pose a conflict of interest to the extent that he has a financial incentive to recommend securities and other investments that may result in commissions, brokerage fees, 12b-1 fees or other payments. However, he is constrained by fiduciary principles to act in his client's best interest.

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

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

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

Quarterly, Mr. Weitz completes a review worksheet or checklist for all client accounts. The reviews include an examination of the client's investment objectives, portfolio allocation, suitability, any concentrated positions, number of trades, and performance of the client's account versus an appropriate index. Scott Register, Chief Compliance Officer, is responsible for reviewing these reports and providing supervisory oversight. He may be reached at (404) 364-2180.

#### **Item 7 - Requirements for State-Registered Advisers**

Investment Advisor Representatives are required to disclose all material facts regarding certain arbitration awards, disciplinary proceedings and bankruptcy petitions. Mr. Weitz has no information applicable to this Item.