
TOMMY N. SAUSLEY

d/b/a

TOMMY N. SAUSLEY, RIA

Form ADV Part 2A-Disclosure Brochure

May 31, 2012

This Disclosure Brochure provides information about the qualifications and business practices of Tommy N. Sausley d/b/a Tommy N. Sausley, RIA (herein “Firm” or “Advisor”). If you have any questions about the contents of this Disclosure Brochure please contact us at 281-772-8412.

Tommy N. Sausley, RIA is a Registered Investment Advisor with the U.S. Securities and Exchange Commission. The information in this Disclosure Brochure has not been approved or verified by the U.S. Securities and Exchange Commission (“SEC”) or by any state securities authority. Registration of an investment advisor does not imply any specific level of skill or training. This Disclosure Brochure provides information about Tommy N. Sausley, RIA to assist you in determining Whether to retain the Advisor.

Additional information about Tommy N. Sausley, RIA and its advisory persons are available on the SEC’s website at www.advisorinfo.sec.gov.

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Item 2 – Material Changes

Form ADV *Part 2A* (the “Disclosure Brochure”) provides information about a variety of topics relating to an Advisor’s business practices and conflicts of interest.

Tommy N. Sausley, RIA believes that communications and transparency are the foundation of our Relationship and continually strive to provide our clients with the complete and accurate information at all times. We encourage all current and prospective clients to read this Disclosure Brochure and discuss any questions you may have with us. And of course, we always welcome your feedback.

Material Changes

During 2011, there have been no material changes to the advisory services provided by Tommy N Sausley, RIA. contained in this Disclosure Brochure and Brochure Supplement for Tommy N. Sausley.

Pursuant to the Dodd-Frank Act Tommy N. Sausley, RIA will be transitioning from registration with the U.S. Securities and Exchange to the registration with the State of Texas. An additional disclosure Item 19 has been added to this Disclosure Brochure as required by state regulations.

Future Changes

From time to time, we may amend this Disclosure Brochure to reflect changes in our business practices, changes in regulations and routine annual updates as required by securities regulators. This complete Disclosure Brochure or a Summary of Materials shall be provided to each client Annually and if material change occurs in the business practices of Tommy N. Sausley, RIA.

At any time, you may view the current Disclosure Brochure on-line at the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov.

To review the firm information for Tommy N. Sausley, RIA:

1. Go to Investment Advisor Search
2. Enter CRD Number 145501 for the Investment Advisor Firm
3. This will provide access to Form ADV part 1 and Part 2

A copy of this Disclosure Brochure may be requested by contacting us at 281-772-8412.

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Item 4 – Advisory Services

A. Firm Information

Tommy N. Sausley, RIA was formed in late 2007 as a sole proprietorship for Tommy N. Sausley who is the 100% principal owner for the purpose of providing independent advisory services after 38 years with Prudential Securities and 1 year with Smith Barney and being registered with the Texas State Securities Board since 1968.

B. Advisory Services Offered

The main focus of the advisory is managing assets by assets classes for sector allocation with a limited maximum per sector which can be raised or lowered on a discretionary basis up to a maximum allowable limit. The normal allocation is 3% in 30 different assets. The assets are selected on a fundamental and technical analysis.

C. Individual Needs of Client

The advisory services are tailored to the individual needs of the client. The client determines the investments that can be included or excluded based on their risk level and goals including equity securities, warrants, debt, options, futures, partnerships, insurance and ETF's. The client fills out a questionnaire to determine the suitability and fit for their Financial Plan. The client may be referred to a professional of their choice such as an attorney or CPA after an initial analysis by the advisor who is a CFP.

D. Wrap Fee Programs

No wrap fee programs are current offered to clients using an outside advisor.

E. Amount of Assets Managed

The amount of assets varies greatly depending on the client's needs. As of May 30, 2012 the amount of assets managed on a discretionary basis was \$10,285,482 and on a non-discretionary basis was \$22,000,000.

Item 5 – Fees and Compensation

A. Fee Schedule and How Compensated

Each client signs a management agreement which specifies the fees paid and when due.
The client has the right to negotiate the fee.

THE FEE SCHEDULE IS:

EQUITY AND BALANCED ACCOUNT

Account Asset Value	Annual Fee
On the first \$500,000	2.75%
On the next \$500,000	2.50%
On the next \$1,500,000	2.00%
On the next \$2,500,000	1.50%
On amounts over \$5,000,000	1.00%

FIXED INCOME ACCOUNT

Account Fixed Income Value	Annual Fee
On the first \$500,000	1.25%
On the next \$500,000	1.00%
On the next \$1,500,000	0.85%
On the next \$2,500,000	0.75%
On amounts over \$5,000,000	0.50%
On amounts over \$10,000,000	0.375%

B. How Fees are Paid and How Often

The fees are deducted from the assets held by the custodian that was selected by the client on a quarterly bases, 1/4 of the annual fee.

C. Other Fees client may pay

The custodian usually charges a fee based on assets under management. There are no other fees unless agreed to by the client in writing.

D. When fees are payable

The fees are payable in advance. Either party may terminate the management agreement upon written notice and any prepaid unearned fees will be refunded. Any additional funds added or withdrawn of \$10,000 or more will be prorated according to the number of days remaining in the quarter.

E. Other Fees Advisor May Receive

Tommy N. Sausley, RIA does not buy or sell securities and does not receive compensation for securities transactions in any Client account, other than the Investment Advisory Fees noted above.

Item 6 – Performance-based Fees

The firm does not receive any performance-based fees based on appreciation or loss in value of securities or for any reason not specified on the fee schedule.

Item 7 – Types of Clients

A. Types of Clients

The types of clients that are generally provided investment advice are individuals, trusts, estates, family limited partnerships, and retirement accounts.

B. Minimum Account Size

The account minimum is normally \$25,000.

C. Other Requirements to Maintain an Account

The client should have some knowledge of investing.

Item 8 - Methods of Analysis, Investment Strategies and Risk of Loss

A. Methods of Analysis

The methods used in the analysis and strategies use to formulate investment advice are reviewing the 10Q, 10K, and proxy statements as well as other advisors opinion and applying fundamental and technical analysis to the assets. All investments assets classes have possible risk of loss as well as risk of gain and the client should be in a position to be able to

withstand any potential loss.

B. Risk of Loss

The accounts are managed primarily for long term and not for frequent trading of securities.

Past performance is not a guarantee of future returns. Investing in securities and other investments involve a risk of loss that each Client should understand and be willing to bear. Clients are reminded to discuss these risks with the Advisor. For more information on our investment management services, please contact us at 281 772-8412.

C. Type of Security Selected

The types of securities recommended are usually based on sector analysis and are limited normally to 3% in any one security reducing some of the risks.

Item 9 - Disciplinary Information

- A. There is no known disciplinary information of criminal, civil, investment related or self-regulatory organization that are material to a client's evaluation of the advisory business.
- B. There has been no proceeding before any agencies that are investment related.
- C. There has been no self-regulatory organization proceeding.

Item 10- Other Financial Activities and Affiliations

- A. There is no pending applications for registered representative or for broker-dealer.
- B. There are no pending or registered applications for futures or commodity related businesses.
- C. There are no relationships that are material to the firms' advisory business.
- D. Not applicable

Item 11- Code of Ethics, Participation in Client Transactions and Personal Trading

A. Code of Ethics

The client may request a copy of the code of ethics for client transactions. Tommy N. Sausley, RIA has not made any personal trades in the past since forming the firm but could in the future. The Code of Ethics is also a continuing education requirement for the CFP.

B. Conflicts of Interest and Personal Trading

To avoid any conflicts of interest any trade made for a client would not occur until at least 2 days apart.

Item 12- Brokerage Practices

A. Factors for Selecting or Recommending Broker-Dealers

The client selects the custodian and broker dealer.

1. Soft Dollars - There are no soft dollar benefits
2. Brokerage Referrals - There are no client referrals
3. Directed Brokerage - The firm does not accept any directed brokerage trading as this practice may not be in the best interest of the client.

B. Aggregating and Allocating Trades

Clients orders can be aggregated on certain conditions. Clients on the sell side that have the same objectives and goals orders can be aggregated in order to get the best execution for the client. This provides no slippage in the execution price. Orders can be aggregated on the buy side for the same reasons. No commissions are incurred.

Item 13- Review of Accounts

A. Periodically Review of Clients Accounts

The client account reviews will be conducted annually or at the client's request by Tommy N. Sausley.

B. Factors that can Trigger a Reviews

Reviews can be triggered by a change of client's circumstances or objectives as well as market conditions such as earnings or political or law changes.

C. Contents and Frequency of Regular Reviews for Clients

The client receives a full written report from the custodian/broker-dealer at least monthly or on line whenever the client wishes.

Item 14 - Client Referrals and Other Compensation

A. Non-client economic benefit from referrals or investment advice

A. not applicable-The firm has no other compensation at this time.

B. Compensation for client referrals

B. The firm does not pay nor receive any compensation for any referrals at any time.

Item 15- Custody

The firm does not accept custody of client funds or securities and the client selects the custodian.

Item 16- Investment Discretion

A management agreement is signed by the client specifying the discretion over a certain part of the clients assets. Each client may place any restrictions on the account and the firm has the right to reject the management agreement.

Item 17- Voting Client Securities

A. Voting Client Securities

The management agreement gives the client the right to vote or the clients can authorize Tommy N. Sausley, RIA to vote. Client's have the right to receive a copy of any proxy voting policies and procedures upon request and can discuss any concerns with the firm. There are not any conflicts of interest as the client has the final determination.

B. Clients Direct Receipt of Proxies from the Custodian

Clients, upon request, may receive their proxies directly from the custodian and clients can discuss any concerns with the firm.

Item 18- Financial Information

The Texas State Security Board possesses financial information regarding the Firm.

Item 19- Requirements for State-Registered Advisers

A. Principle officers not shown in Form ADV

All principle officers are listed on Form ADV.

B. Outside Businesses

The firm has no outside businesses.

C. Compensation for services with performance fees

The firm receives no performance fees.

D. Awards

There are no material facts concerning awards that are client or investment related.

E. Relationships with Issuers of Securities

The Firm has no relationship with issuers of securities.