

# Brochure Supplement

June 26, 2012

## **BARRY ROTH**

10200 Forest Green Boulevard, Suite 300  
Louisville, KY 40223

(502) 909-1100

This Brochure Supplement provides information about Barry Roth that supplements the Disclosure Brochure of Lanier Asset Management, LLC (hereinafter "Lanier"), a copy of which you should have received. Please contact Lanier's Chief Compliance Officer if you did not receive the Disclosure Brochure or if you have any questions about the contents of this Brochure Supplement. Additional information about Barry Roth is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

**Lanier Asset Management, LLC, a Registered Investment Adviser**

10200 Forest Green Boulevard, Suite 300, Louisville, KY 40223 | (502) 909-1100  
[www.lanieram.com](http://www.lanieram.com)

## Item 2. Educational Background and Business Experience

Born 1984

### Post-Secondary Education

University of Wisconsin - Madison | BA, History | 2006

### Recent Business Background

Lanier Asset Management, LLC | Director | March 2012 – Present

Comprehensive Asset Management and Servicing, Inc. | Registered Representative | March 2012 – Present

Stifel, Nicolaus & Co., Inc. | Financial Advisor | May 2011 – February 2012

UBS Financial Services | Financial Advisor | December 2007 – March 2011

## Item 3. Disciplinary Information

Lanier is required to disclose information regarding any legal or disciplinary events material to a client's evaluation of Barry Roth. Lanier has no information to disclose in relation to this Item.

## Item 4. Other Business Activities

Lanier is required to disclose information regarding any investment-related business or occupation in which Barry Roth is actively engaged.

### Registered Representative of a Broker-Dealer

Barry Roth is a registered representative of Comprehensive Asset Management and Servicing, Inc. ("CAMAS"), an SEC registered broker-dealer and member of FINRA. In this capacity, Barry Roth may provide securities brokerage services and implement securities transactions under a commission based arrangement. Barry Roth may be entitled to a portion of the brokerage commissions paid to CAMAS, as well as a share of any ongoing distribution or service ("trail") fees from the sale of mutual funds.

A conflict of interest exists to the extent that Barry Roth recommends the purchase of securities where he receives commissions or other additional compensation as a result. This practice may give him an incentive to recommend investment products based on compensation received rather than on the client's needs. Lanier has procedures in place to ensure that all recommendations are made in the best interests of clients regardless of any additional compensation earned. For accounts covered by ERISA (and such others that the firm deems appropriate), Lanier provides investment advisory services on a fee offset

basis, whereby offset its fees by an amount equal to the aggregate commissions and 12b-1 fees earned by Barry Roth in his individual capacity as a registered representative of CAMAS.

### **Item 5. Additional Compensation**

Lanier is required to disclose information regarding any arrangement under which Barry Roth receives an economic benefit from someone other than a client for providing investment advisory services. Lanier has no information to disclose in relation to this Item.

### **Item 6. Supervision**

Junius V. Beaver III (Trip), Managing Member, is generally responsible for supervising Barry Roth's advisory activities on behalf of Lanier. Junius V. Beaver III (Trip) can be reached at the firm's main telephone number listed on the cover page of this Brochure Supplement.

Lanier supervises its personnel and the investments made in client accounts. Lanier monitors the investments recommended by Barry Roth to ensure they are suitable for the particular client and consistent with their investment needs, goals, objectives and risk tolerance, as well as any restrictions previously requested by the client. Lanier periodically reviews the advisory activities of Barry Roth, which may include reviewing individual client accounts and correspondence (including e-mails) sent and received by Barry Roth.

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

Lanier is required to disclose the material facts regarding Barry Roth's involvement in certain civil, self-regulatory organization or administrative proceedings, arbitration awards or findings, or bankruptcy proceedings. Lanier has no information to disclose in relation to this Item.