



Securus Wealth Management, LLC

Form ADV, Part 2B: Brochure Supplement

March 21, 2013

This brochure supplement provides information about the Firm's Supervised Persons that supplements the Securus Wealth Management brochure. You should have received a copy of that brochure. Please contact Kristen Mueller, Chief Operations Officer if you did not receive Securus' brochure or if you have any questions about the contents of this supplement.

Additional information about the Firm's Supervised Persons is also available on the SEC's website at www.adviserinfo.sec.gov.

3340 Annapolis Lane North, Suite B
Plymouth, MN 55447
Phone: 763-231-7880
www.securuswealth.com

Registration does not imply a certain level of skill or training.

Version Date: March 21, 2013

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Patrick Joseph Boria

Year of Birth: 1970

6465 Wayzata Blvd Suite 700

Minneapolis, MN 55426 USA

CRD# 2693189

EDUCATIONAL BACKGROUND

- 1995 – BS Economics, University of Minnesota

BUSINESS EXPERIENCE

- 2006-Present: Registered Representative, Cambridge Investment Research, Inc.
- 2006-Present: Investment Advisor Representative, Securus Wealth Management, LLC
- 2006-Present: Managing Director, Dyste Williams Financial Group
- 2006-Present: President, Boria Wealth Management
- 1995-2006: Registered Representative, MetLife

PROFESSIONAL DESIGNATIONS, LICENSING AND EXAMS

- 2003 – CLTC® (The Certified in Long-Term Care™) designation is obtained by taking a 7-part multi-disciplinary course.
- 2002 – Series 7: Regulatory exam for securities agents registered representatives, administered by FINRA. Registered Representative Number: PVU
- 2000 - LUTCF (Life Underwriter Training Council Fellow) Credentialing Program is a professional credentialing program for professionals working within the insurance field (Financial services designation for insurance and financial planners) Candidates must earn 300 designation credits and complete the ethics course requirement.
- 1996 – Series 63 Regulatory exam for uniform securities agent state law exam
- 1996 – Series 6: Regulatory exam for investment company products, variable contracts
- 1995 - Minnesota State Life and Health Insurance: Regulatory exam for insurance agents administered by the State of Minnesota. Also licensed in Arizona, Colorado, Iowa, Wisconsin, and California
- 1995 - Minnesota State Property and Casualty Insurance: Regulatory exam for insurance agents administered by the State of Minnesota

OTHER BUSINESS ACTIVITIES

In addition to serving as your investment advisory representative Patrick J. Boria is engaged in the following business activities:

- President, Boria Wealth Management. Boria Wealth Management provides financial planning and wealth management services for individuals and businesses.

There are certain business activities in which an investment advisor representative may engage that present potential conflicts of interest. If applicable, additional disclosures relevant to your Advisor's outside business activities are outlined below. Please note that these are potential conflicts of interest and it is your Advisor's fiduciary duty to act in your best interest. If you have any questions about the disclosures please ask your Advisor as this is an opportunity to better understand your relationship and your Advisor's activities.

Your advisor is also a registered representative with Cambridge Investment Research, Inc., ("Cambridge") a registered securities broker/dealer, member of the Financial Industry Regulatory Authority (FINRA) and the Securities Investors Protection Corporation (SIPC). When acting as a registered representative of Cambridge, your advisor may sell, for commissions, general securities products such as stocks, bonds, mutual funds, exchange-traded funds, and variable annuity and variable life products to advisory clients. Clients are not obliged to purchase or sell securities through Cambridge or their Advisor. However, if you choose to establish an account with your Advisor, it is important to understand that due to regulatory constraints, your Advisor must place all purchases and sales of securities products in commission-based accounts through Cambridge or other institutions approved by Cambridge.

The receipt of commissions may create an incentive for your Advisor to recommend those products for which they will receive a commission. Consequently, the objectivity of the advice rendered to clients could be biased. Your Advisor controls for this potential conflict of interest by discussing with clients their specific needs, the benefits and negatives of establishing a fee-based account through a third-party custodian versus establishing a commission-based account through Cambridge Investment Research, Inc. and also the compensation arrangements under the different scenarios.

Your Advisor may receive 12b-1 fees from certain mutual fund companies as outlined in the fund's prospectus. 12b-1 fees are considered distribution or marketing fees and come from fund assets and indirectly from client assets through fund expenses. There are numerous reasons why your Advisor may recommend a certain mutual fund but it is possible the receipt of such fees represents an incentive for your Advisor to recommend funds with 12b-1 fees over funds that have no fees or lower fees.

Your Advisor is independently licensed to sell insurance and annuity products through various insurance companies. When acting in this capacity, your Advisor will receive commissions for selling insurance and annuity products. Clients may choose any independent insurance agent and insurance company to purchase insurance products and are not obligated to purchase insurance products through your Advisor. Regardless of the insurance agent selected, the insurance agent or agency may receive normal commissions from the sale. The receipt of compensation and other potential incentive benefits creates an incentive to recommend products to clients. At the time of any recommendations your Advisor will discuss the products, your needs and any compensation arrangements.

ADDITIONAL COMPENSATION

Patrick refers clients to Dyste Williams Financial Group and receives compensation for these referrals.

Certain product sponsors may provide economic benefits as a result of recommendations or sale of the product sponsors' investments. The economic benefits received can include but are not limited to, financial assistance or the sponsorship of conferences and educational sessions, marketing support, incentive awards, payment of travel expenses, and tools to assist your Advisor in providing various services to clients. These economic benefits may be received directly by your Advisor or indirectly through Cambridge Investment Research, Inc. who have entered into specific arrangements with product sponsors. These economic benefits could influence your advisor to recommend certain products/programs over others.

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.

SUPERVISION

Patrick Boria's investment advisory services are supervised by James D Goodland of Securus Wealth Management, LLC. James monitors the recommendations provided by Patrick through electronic reporting as well as personal communications and visits with Patrick.

James David Goodland

Year of Birth: 1966

3340-B Annapolis Lane N

Plymouth, MN 55447

CRD# 2385266

EDUCATIONAL BACKGROUND

- Kaplan University
- Brown College
- American University

BUSINESS EXPERIENCE

- 1994-Present: Chief Executive Officer/ Chief Compliance Officer, Securus Wealth Management, LLC (formally the Financial Resource Group)
- 2005-Present: Associated Person - NFA, Cambridge Investment Research, Inc.
- 2000-Present: Registered Representative, Cambridge Investment Research, Inc.
- 1996-2000: Registered Representative, Washington Square Securities
- 1993-1994: Registered Representative, Prudential Securities

PROFESSIONAL DESIGNATIONS, LICENSING AND EXAMS

- 2012 – Accredited Investment Fiduciary™ (AIF®): The AIF designation signifies knowledge of fiduciary responsibility and the ability to implement policies and procedures that meet a defined standard of care.
- 2006 – Wealth Management Specialist (WMS)
- 2005 – Series 31: Futures Managed Funds Exam
- 2001 – Series 24: General Securities Principal Exam
- 1997 – Series 65: Uniform Investment Adviser Law Exam
- 1997 – Series 7: Regulatory exam for securities agents and registered representatives, administered by FINRA. Registered Representative Number: 2U7
- 1993 - Series 63: Uniform Securities Agent State Law Exam
- 1993 – Series 6: Investment Company Products/Variable Contracts Representative Exam administered by FINRA.
- 1994 – Minnesota State Life and Health Insurance: Regulatory exam for insurance agents administered by the state of Minnesota. Also licensed in Wisconsin, Wyoming, and Florida. License Number: 63133

OTHER BUSINESS ACTIVITIES

In addition to serving as your investment advisory representative James D. Goodland is engaged in the following business activities:

- Partner, GHLR, LLC. This partnership is a real estate investment with two other registered representatives (Howard Richards and Paul Humphrey, both with Cambridge Investment Research, Inc). GHLR, LLC was formed to purchase its current office space. It collects rents from other tenants, mostly other registered representatives and support staff.

There are certain business activities in which an investment advisor representative may engage that present potential conflicts of interest. If applicable, additional disclosures relevant to your Advisor's outside business activities are outlined below. Please note that these are potential conflicts of interest and it is your Advisor's fiduciary duty to act in your best interest. If you have

any questions about the disclosures please ask your Advisor as this is an opportunity to better understand your relationship and your Advisor's activities.

Your advisor is also a registered representative with Cambridge Investment Research, Inc., ("Cambridge") a registered securities broker/dealer, member of the Financial Industry Regulatory Authority (FINRA) and the Securities Investors Protection Corporation (SIPC). When acting as a registered representative of Cambridge, your advisor may sell, for commissions, general securities products such as stocks, bonds, mutual funds, exchange-traded funds, and variable annuity and variable life products to advisory clients. Clients are not obliged to purchase or sell securities through Cambridge or their Advisor. However, if you choose to establish an account with your Advisor, it is important to understand that due to regulatory constraints, your Advisor must place all purchases and sales of securities products in commission-based accounts through Cambridge or other institutions approved by Cambridge.

The receipt of commissions may create an incentive for your Advisor to recommend those products for which they will receive a commission. Consequently, the objectivity of the advice rendered to clients could be biased. Your Advisor controls for this potential conflict of interest by discussing with clients their specific needs, the benefits and negatives of establishing a fee-based account through a third-party custodian versus establishing a commission-based account through Cambridge Investment Research, Inc. and also the compensation arrangements under the different scenarios.

Your Advisor may receive 12b-1 fees from certain mutual fund companies as outlined in the fund's prospectus. 12b-1 fees are considered distribution or marketing fees and come from fund assets and indirectly from client assets through fund expenses. There are numerous reasons why your Advisor may recommend a certain mutual fund but it is possible the receipt of such fees represents an incentive for your Advisor to recommend funds with 12b-1 fees over funds that have no fees or lower fees.

Your Advisor is independently licensed to sell insurance and annuity products through various insurance companies. When acting in this capacity, your Advisor will receive commissions for selling insurance and annuity products. Clients may choose any independent insurance agent and insurance company to purchase insurance products and are not obligated to purchase insurance products through your Advisor. Regardless of the insurance agent selected, the insurance agent or agency may receive normal commissions from the sale. The receipt of compensation and other potential incentive benefits creates an incentive to recommend products to clients. At the time of any recommendations your Advisor will discuss the products, your needs and any compensation arrangements.

ADDITIONAL COMPENSATION

James is eligible to participate in the Equity Participation Plan due to his affiliation as a Registered Representative of Cambridge Investment Research, Inc., which could influence his decision to be affiliated with Cambridge Investment Research, Inc.

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arrangements with product sponsors. These economic benefits could influence your advisor to recommend certain products/programs over others.

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.

SUPERVISION

James Goodland's investment advisory services are supervised by Paige A. Fraga of Cambridge Investment Research, Inc. Paige monitors the recommendations provided by James through electronic reporting as well as personal communications and visits with James.

James Paul Humphrey

Year of Birth: 1985

3340-B Annapolis Lane N

Plymouth, MN 55447

CRD# 5822308

EDUCATIONAL BACKGROUND

- 2011 – Bachelors of Science in Business Administration with a minor in applied Economics from Metropolitan State University, St. Paul MN
- 2006 – Automotive, Diesel, Hydraulic graduate from Universal Technical Institute with Honors, Chicago IL

BUSINESS EXPERIENCE

- 2012 – Securus Wealth Management,
- 2010 – Mutual of Omaha,
- 2009 – Principal Financial Group,

PROFESSIONAL DESIGNATIONS, LICENSING AND EXAMS

- 2012 – Series 6: Investment Company Products/Variable Contracts Representative Exam administered by FINRA.
- 2009 – Minnesota State Life and Health Insurance: Regulatory exam for insurance agents administered by the state of Minnesota. License Number: 40229790

OTHER BUSINESS ACTIVITIES

In addition to serving as your investment advisory representative James P. Humphrey is engaged in the following business activities:

- Union Member, Communication Works of America (CWA). James receives no compensation for this.

There are certain business activities in which an investment advisor representative may engage that present potential conflicts of interest. If applicable, additional disclosures relevant to your Advisor's outside business activities are outlined below. Please note that these are potential conflicts of interest and it is your Advisor's fiduciary duty to act in your best interest. If you have any questions about the disclosures please ask your Advisor as this is an opportunity to better understand your relationship and your Advisor's activities.

Your advisor is also a registered representative with Cambridge Investment Research, Inc., ("Cambridge") a registered securities broker/dealer, member of the Financial Industry Regulatory Authority (FINRA) and the Securities Investors Protection Corporation (SIPC). When acting as a registered representative of Cambridge, your advisor may sell, for commissions, general securities products such as stocks, bonds, mutual funds, exchange-traded funds, and variable annuity and variable life products to advisory clients. Clients are not obliged to purchase or sell securities through Cambridge or their Advisor. However, if you choose to establish an account with your Advisor, it is important to understand that due to regulatory constraints, your Advisor must place all purchases and sales of securities products in commission-based accounts through Cambridge or other institutions approved by Cambridge.

The receipt of commissions may create an incentive for your Advisor to recommend those products for which they will receive a commission. Consequently, the objectivity of the advice rendered to clients could be biased. Your Advisor controls for this potential conflict of interest by discussing with clients their specific needs, the benefits and negatives of establishing a fee-based account through a third-party custodian versus establishing a commission-based account through Cambridge Investment Research, Inc. and also the compensation arrangements under the different scenarios.

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Your Advisor is independently licensed to sell insurance and annuity products through various insurance companies. When acting in this capacity, your Advisor will receive commissions for selling insurance and annuity products. Clients may choose any independent insurance agent and insurance company to purchase insurance products and are not obligated to purchase insurance products through your Advisor. Regardless of the insurance agent selected, the insurance agent or agency may receive normal commissions from the sale. The receipt of compensation and other potential incentive benefits creates an incentive to recommend products to clients. At the time of any recommendations your Advisor will discuss the products, your needs and any compensation arrangements.

ADDITIONAL COMPENSATION

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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.

SUPERVISION

James Humphrey's investment advisory services are supervised by James D Goodland of Securus Wealth Management, LLC. James monitors the recommendations provided by James through electronic reporting as well as personal communications and visits with Steve.

Paul Kenneth Humphrey

Year of Birth: 1956

401 S 1st Street, Suite 1702

Minneapolis, MN 55401

CRD# 2624392

EDUCATIONAL BACKGROUND

- 1979 – B.S., Mechanical Engineering, University of Minnesota, Institute of Technology

BUSINESS EXPERIENCE

- 2007-Present: Investment Advisory Representative (IAR), Securus Wealth Management, LLC
- 2002-Present: Registered Representative, Cambridge Investment Research, Inc.
- 2000-2002: Registered Representative, Royal Alliance
- 1999-2000: Registered Representative, Prudential Securities
- 1987-1999: General Manager, McQuay International
- 1983-1987: Sales Engineer, Honeywell Inc.
- 1979-1983: Sales Engineer, The Trane Company

PROFESSIONAL DESIGNATIONS, LICENSING AND EXAMS

- 2009 – CFEd® (Chartered Financial Educator™): The CFEd® Program is a graduate-level self-study program that combines a broad-based curriculum of investment principles with professional conduct requirements. It is designed to prepare charter holders with educational tools and resources to perform financial educational training to employees of companies, direct mail responders, Union Members, and Human Resource Managers. To earn a CFEd® designation, the applicant must study and pass a 250 question test using an assigned curriculum. Upon passing and meeting the professional and ethical requirements, they are awarded this designation.
- 2005 – Real Estate License: State of Minnesota. License Number: 20529657
- 1999 – Series 7: Regulatory exam for securities agents and registered representatives, administered by FINRA. Registered Representative Number: 5H6
- 1999 - Series 66: Regulatory exam for securities agent and investment adviser representatives administered by FINRA.
- 1999 – Minnesota State Life and Health Insurance: Regulatory exam for insurance agents administered by the state of Minnesota. Also licensed in Wisconsin, Oklahoma, and Utah. License Number: 20170050

OTHER BUSINESS ACTIVITIES

In addition to serving as your investment advisory representative Paul K. Humphrey is engaged in the following business activities:

- Partner, GHLR, LLC. This partnership is a real estate investment with two other registered representatives (Howard Richards and Jim Goodland, both with Cambridge Investment Research, Inc). GHLR, LLC was formed to purchase its current office space. It collects rents from other tenants, mostly other registered representatives and support staff.
- Licensed Real Estate broker and receives compensation directly from Real Estate Brokers. Real Estate Brokers are regulated by the State of Minnesota.

- College Funding Counselor. Paul is trained as an educator to parents and students to help with financial education decisions related to college funding. Paul receives compensation through his Registered Representative license and State of Minnesota insurance.
- Union Member, Communication Works of America (CWA). Paul receives no compensation for this.

There are certain business activities in which an investment advisor representative may engage that present potential conflicts of interest. If applicable, additional disclosures relevant to your Advisor's outside business activities are outlined below. Please note that these are potential conflicts of interest and it is your Advisor's fiduciary duty to act in your best interest. If you have any questions about the disclosures please ask your Advisor as this is an opportunity to better understand your relationship and your Advisor's activities.

Your advisor is also a registered representative with Cambridge Investment Research, Inc., ("Cambridge") a registered securities broker/dealer, member of the Financial Industry Regulatory Authority (FINRA) and the Securities Investors Protection Corporation (SIPC). When acting as a registered representative of Cambridge, your advisor may sell, for commissions, general securities products such as stocks, bonds, mutual funds, exchange-traded funds, and variable annuity and variable life products to advisory clients. Clients are not obliged to purchase or sell securities through Cambridge or their Advisor. However, if you choose to establish an account with your Advisor, it is important to understand that due to regulatory constraints, your Advisor must place all purchases and sales of securities products in commission-based accounts through Cambridge or other institutions approved by Cambridge.

The receipt of commissions may create an incentive for your Advisor to recommend those products for which they will receive a commission. Consequently, the objectivity of the advice rendered to clients could be biased. Your Advisor controls for this potential conflict of interest by discussing with clients their specific needs, the benefits and negatives of establishing a fee-based account through a third-party custodian versus establishing a commission-based account through Cambridge Investment Research, Inc. and also the compensation arrangements under the different scenarios.

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Your Advisor is independently licensed to sell insurance and annuity products through various insurance companies. When acting in this capacity, your Advisor will receive commissions for selling insurance and annuity products. Clients may choose any independent insurance agent and insurance company to purchase insurance products and are not obligated to purchase insurance products through your Advisor. Regardless of the insurance agent selected, the insurance agent or agency may receive normal commissions from the sale. The receipt of compensation and other

potential incentive benefits creates an incentive to recommend products to clients. At the time of any recommendations your Advisor will discuss the products, your needs and any compensation arrangements.

ADDITIONAL COMPENSATION

Paul Humphrey does receive rents through 3 residential real estate properties owned by him and his wife.

Paul Humphrey does receive income from Kaplan Education for payment to train Real Estate Agents in the State of Minnesota.

Certain product sponsors may provide economic benefits as a result of recommendations or sale of the product sponsors' investments. The economic benefits received can include but are not limited to, financial assistance or the sponsorship of conferences and educational sessions, marketing support, incentive awards, payment of travel expenses, and tools to assist your Advisor in providing various services to clients. These economic benefits may be received directly by your Advisor or indirectly through Cambridge Investment Research, Inc. who have entered into specific arrangements with product sponsors. These economic benefits could influence your advisor to recommend certain products/programs over others.

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.

SUPERVISION

Paul Humphrey's investment advisory services are supervised by James D. Goodland of Securus Wealth Management, LLC. James monitors the recommendations provided by Paul through electronic reporting as well as personal communications and visits with Paul.

Karen Elaine Lind-Ries

Year of Birth: 1963

200 NE First Avenue

Grand Rapids, MN 55744

CRD# 4041666

EDUCATIONAL BACKGROUND

- 1986 – B.A., University of Minnesota Duluth
- 2007 – Graduate of Certified Financial Planner (CFP®) Professional Education Program, College for Financial Planning

BUSINESS EXPERIENCE

- 2005-Present: Registered Representative, Cambridge Investment Research, Inc.
- 2007-Present: Investment Advisory Representative (IAR), Securus Wealth Management, LLC
- 1991-Present: CPA Partner, Glorvigen, Theis, Lind & Co, PLLP
- 1989-1991: Accountant, Virden & Johnson, Ltd.
- 1986-1989: Accountant, Glorvigen & Associates, PA

PROFESSIONAL DESIGNATIONS, LICENSING AND EXAMS

- 1990 – Certified Public Accountant License (CPA), State of Minnesota. License Number: 13372
- 2000 – Series 7: Regulatory exam for securities agents and registered representatives, administered by FINRA. Registered Representative Number: 7P7
- 2000 - Series 66: Regulatory exam for securities agent and investment adviser representatives administered by FINRA.
- 2008 – Minnesota State Life, Variable Life & Variable Annuity Insurance: Regulatory exam for insurance agents administered by the state of Minnesota. License Number: 40106009

OTHER BUSINESS ACTIVITIES

In addition to serving as your investment advisory representative Karen E. Lind-Reis is engaged in the following business activities:

- Owner, Karen Lind-Ries, PA, which is a partner with Glorvigen, Theis, Lind & Co, PLLP. This partnership is a public accounting firm with one other registered representative (James Olson, with Cambridge Investment Research, Inc).

There are certain business activities in which an investment advisor representative may engage that present potential conflicts of interest. If applicable, additional disclosures relevant to your Advisor's outside business activities are outlined below. Please note that these are potential conflicts of interest and it is your Advisor's fiduciary duty to act in your best interest. If you have any questions about the disclosures please ask your Advisor as this is an opportunity to better understand your relationship and your Advisor's activities.

Your advisor is also a registered representative with Cambridge Investment Research, Inc., ("Cambridge") a registered securities broker/dealer, member of the Financial Industry Regulatory Authority (FINRA) and the Securities Investors Protection Corporation (SIPC). When acting as a registered representative of Cambridge, your advisor may sell, for commissions, general securities

products such as stocks, bonds, mutual funds, exchange-traded funds, and variable annuity and variable life products to advisory clients. Clients are not obliged to purchase or sell securities through Cambridge or their Advisor. However, if you choose to establish an account with your Advisor, it is important to understand that due to regulatory constraints, your Advisor must place all purchases and sales of securities products in commission-based accounts through Cambridge or other institutions approved by Cambridge.

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Your Advisor is independently licensed to sell insurance and annuity products through various insurance companies. When acting in this capacity, your Advisor will receive commissions for selling insurance and annuity products. Clients may choose any independent insurance agent and insurance company to purchase insurance products and are not obligated to purchase insurance products through your Advisor. Regardless of the insurance agent selected, the insurance agent or agency may receive normal commissions from the sale. The receipt of compensation and other potential incentive benefits creates an incentive to recommend products to clients. At the time of any recommendations your Advisor will discuss the products, your needs and any compensation arrangements.

ADDITIONAL COMPENSATION

Certain product sponsors may provide economic benefits as a result of recommendations or sale of the product sponsors' investments. The economic benefits received can include but are not limited to, financial assistance or the sponsorship of conferences and educational sessions, marketing support, incentive awards, payment of travel expenses, and tools to assist your Advisor in providing various services to clients. These economic benefits may be received directly by your Advisor or indirectly through Cambridge Investment Research, Inc. who have entered into specific arrangements with product sponsors. These economic benefits could influence your advisor to recommend certain products/programs over others.

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.

SUPERVISION

Karen Lind-Ries' investment advisory services are supervised by James D Goodland of Securus Wealth Management, LLC. James monitors the recommendations provided by Karen through electronic reporting as well as personal communications and visits with Karen.

James Peter Olson

Year of Birth: 1958

200 NE First Avenue

Grand Rapids, MN 55744 USA

CRD# 1572110

EDUCATIONAL BACKGROUND

- 1981– B.A., Economics, University of Minnesota – Duluth

BUSINESS EXPERIENCE

- 2005-Present: Registered Representative, Cambridge Investment Research, Inc.
- 2007-Present: Investment Advisory Representative (IAR), Securus Wealth Management, LLC
- 1999-2005: Registered Representative, H.D. Vest Investment Securities, Inc.
- 1996-1999: Registered Representative, American General Securities, Inc.
- 1993-1996: Tax Accountant, Virden & Johnson, Ltd
- 1993-1994: Registered Representative, H.D. Vest Investment Securities, Inc.

PROFESSIONAL DESIGNATIONS, LICENSING AND EXAMS

- 1999 – Series 7: Regulatory exam for securities agents and registered representatives, administered by FINRA. Registered Representative Number: 7T9
- 1997 – Minnesota State Life and Health Insurance: Regulatory exam for insurance agents administered by the state of Minnesota. Also licensed in Arizona, Texas, and South Dakota. License Number: 20104118
- 1996 – Certified Financial Planner, License Number: 056434
- 1993 – Certified Public Accountant (CPA), License Number: 15384
- 1993 - Series 6: Regulatory exam for securities agent and investment adviser representatives administered by FINRA.
- 1993 – Series 63: Uniform Securities Agent State Law Exam

OTHER BUSINESS ACTIVITIES

In addition to serving as your investment advisory representative James P. Olson is engaged in the following business activities:

- Tax Partner, Glorvigen, Theis, Lind & Company. James receives compensation for work in the individual and business tax areas.

There are certain business activities in which an investment advisor representative may engage that present potential conflicts of interest. If applicable, additional disclosures relevant to your Advisor's outside business activities are outlined below. Please note that these are potential conflicts of interest and it is your Advisor's fiduciary duty to act in your best interest. If you have any questions about the disclosures please ask your Advisor as this is an opportunity to better understand your relationship and your Advisor's activities.

Your advisor is also a registered representative with Cambridge Investment Research, Inc., ("Cambridge") a registered securities broker/dealer, member of the Financial Industry Regulatory Authority (FINRA) and the Securities Investors Protection Corporation (SIPC). When acting as a registered representative of Cambridge, your advisor may sell, for commissions, general securities products such as stocks, bonds, mutual funds, exchange-traded funds, and variable annuity and

variable life products to advisory clients. Clients are not obliged to purchase or sell securities through Cambridge or their Advisor. However, if you choose to establish an account with your Advisor, it is important to understand that due to regulatory constraints, your Advisor must place all purchases and sales of securities products in commission-based accounts through Cambridge or other institutions approved by Cambridge.

The receipt of commissions may create an incentive for your Advisor to recommend those products for which they will receive a commission. Consequently, the objectivity of the advice rendered to clients could be biased. Your Advisor controls for this potential conflict of interest by discussing with clients their specific needs, the benefits and negatives of establishing a fee-based account through a third-party custodian versus establishing a commission-based account through Cambridge Investment Research, Inc. and also the compensation arrangements under the different scenarios.

Your Advisor may receive 12b-1 fees from certain mutual fund companies as outlined in the fund's prospectus. 12b-1 fees are considered distribution or marketing fees and come from fund assets and indirectly from client assets through fund expenses. There are numerous reasons why your Advisor may recommend a certain mutual fund but it is possible the receipt of such fees represents an incentive for your Advisor to recommend funds with 12b-1 fees over funds that have no fees or lower fees.

Your Advisor is independently licensed to sell insurance and annuity products through various insurance companies. When acting in this capacity, your Advisor will receive commissions for selling insurance and annuity products. Clients may choose any independent insurance agent and insurance company to purchase insurance products and are not obligated to purchase insurance products through your Advisor. Regardless of the insurance agent selected, the insurance agent or agency may receive normal commissions from the sale. The receipt of compensation and other potential incentive benefits creates an incentive to recommend products to clients. At the time of any recommendations your Advisor will discuss the products, your needs and any compensation arrangements.

ADDITIONAL COMPENSATION

Certain product sponsors may provide economic benefits as a result of recommendations or sale of the product sponsors' investments. The economic benefits received can include but are not limited to, financial assistance or the sponsorship of conferences and educational sessions, marketing support, incentive awards, payment of travel expenses, and tools to assist your Advisor in providing various services to clients. These economic benefits may be received directly by your Advisor or indirectly through Cambridge Investment Research, Inc. who have entered into specific arrangements with product sponsors. These economic benefits could influence your advisor to recommend certain products/programs over others.

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.

SUPERVISION

James Olson's investment advisory services are supervised by James D. Goodland of Securus Wealth Management, LLC. James monitors the recommendations provided by James through electronic reporting as well as personal communications and visits with James.

Howard Deen Richards

Year of Birth: 1950

3340-B Annapolis Lane N

Plymouth, MN 55447

CRD# 2172691

EDUCATIONAL BACKGROUND

- 1972 – B.B.A, Business, University of Michigan
- 1973 – M.B.A, Finance, University of Colorado

BUSINESS EXPERIENCE

- 2001-Present: Registered Representative, Cambridge Investment Research, Inc.
- 2001-Present: Investment Advisory Representative (IAR), Securus Wealth Management, LLC.
- 1995-2001: Registered Representative, Royal Alliance Associates
- 1991-1995: Registered Representative, IDS Financial Services
- 1988-1991: VP, First Interstate Mortgage, Bloomington, MN
- 1985-1998: VP, United Federal Savings Bank, Roseville, MN
- 1976-1985: Various Positions, First Bank Minneapolis
- 1974-1976: Bank Examiner, Federal Reserve Bank of Minneapolis

PROFESSIONAL DESIGNATIONS, LICENSING AND EXAMS

- 1995: Certified Financial Planner™ (CFP®). The CFP® Board of Standards grants this designation to individuals who complete an extensive course of study designed to prepare candidates to address a broad range of financial planning topics, including cash flow and budget analysis, insurance coverage's, tax matters, retirement planning, and estate planning. A comprehensive exam covering these topics is also required to be passed prior to the granting of the designation.
- 1991: Series 7 Regulatory exam for securities agents and registered representatives, administered by FINRA. Registered Representative Number: P5N
- 1991: Series 63 Regulatory exam for securities agent and investment adviser representatives administered by FINRA.
- 1999: Series 65 Uniform Investment Adviser Law Exam
- 2008: Series 31 Futures Managed Funds Exam
- 1991: Minnesota State Life and Health Insurance: Regulatory exam for insurance agents administered by the state of Minnesota. Also licensed in Wisconsin, Michigan, Arizona, Iowa, Ohio, Texas and West Virginia. License Number: 53213

OTHER BUSINESS ACTIVITIES

In addition to serving as your investment advisory representative Howard D. Richards is engaged in the following business activities:

- Partner, GHLR, LLC. This partnership is a real estate investment with two other registered representatives (Paul Humphrey and James Goodland, both with Cambridge Investment Research, Inc.) GHLR, LLC was formed to purchase its current office space. It collects rents from other tenants, mostly other registered representatives and support staff.

There are certain business activities in which an investment advisor representative may engage that present potential conflicts of interest. If applicable, additional disclosures relevant to your

Advisor's outside business activities are outlined below. Please note that these are potential conflicts of interest and it is your Advisor's fiduciary duty to act in your best interest. If you have any questions about the disclosures please ask your Advisor as this is an opportunity to better understand your relationship and your Advisor's activities.

Your advisor is also a registered representative with Cambridge Investment Research, Inc., ("Cambridge") a registered securities broker/dealer, member of the Financial Industry Regulatory Authority (FINRA) and the Securities Investors Protection Corporation (SIPC). When acting as a registered representative of Cambridge, your advisor may sell, for commissions, general securities products such as stocks, bonds, mutual funds, exchange-traded funds, and variable annuity and variable life products to advisory clients. Clients are not obliged to purchase or sell securities through Cambridge or their Advisor. However, if you choose to establish an account with your Advisor, it is important to understand that due to regulatory constraints, your Advisor must place all purchases and sales of securities products in commission-based accounts through Cambridge or other institutions approved by Cambridge.

The receipt of commissions may create an incentive for your Advisor to recommend those products for which they will receive a commission. Consequently, the objectivity of the advice rendered to clients could be biased. Your Advisor controls for this potential conflict of interest by discussing with clients their specific needs, the benefits and negatives of establishing a fee-based account through a third-party custodian versus establishing a commission-based account through Cambridge Investment Research, Inc. and also the compensation arrangements under the different scenarios.

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Your Advisor is independently licensed to sell insurance and annuity products through various insurance companies. When acting in this capacity, your Advisor will receive commissions for selling insurance and annuity products. Clients may choose any independent insurance agent and insurance company to purchase insurance products and are not obligated to purchase insurance products through your Advisor. Regardless of the insurance agent selected, the insurance agent or agency may receive normal commissions from the sale. The receipt of compensation and other potential incentive benefits creates an incentive to recommend products to clients. At the time of any recommendations your Advisor will discuss the products, your needs and any compensation arrangements.

ADDITIONAL COMPENSATION

Certain product sponsors may provide economic benefits as a result of recommendations or sale of the product sponsors' investments. The economic benefits received can include but are not limited to, financial assistance or the sponsorship of conferences and educational sessions, marketing support, incentive awards, payment of travel expenses, and tools to assist your Advisor in providing various services to clients. These economic benefits may be received directly by your Advisor or indirectly through Cambridge Investment Research, Inc. who have entered into specific arrangements with product sponsors. These economic benefits could influence your advisor to recommend certain products/programs over others.

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.

SUPERVISION

Howard Richards' investment advisory services are supervised by James D. Goodland of Securus Wealth Management, LLC. James monitors the recommendations provided by Howard through electronic reporting as well as personal communications and visits with Howard.

John Paul Severy-Hoven

Year of Birth: 1968

Oracle Financial Planners

420 Summit Avenue

St. Paul, MN 55102 USA

CRD# 4495513

EDUCATIONAL BACKGROUND

- 1993 – B.A., Psychology and English, University of Wisconsin – Madison
- 1995 – M.S., Development Counseling Psychology, University of Wisconsin - Madison
- 2000 – M.B.A., Investment Finance, University of Minnesota – Twin Cities; Carlson School of Management

BUSINESS EXPERIENCE

- 2007-Present: Investment Advisory Representative (IAR), Securus Wealth Management, LLC
- 2003-2007: Registered Representative, Cambridge Investment Research, Inc.
- 2002-2003: Investment Advisory Representative, Merrill Lynch
- 2000-2001: Senior Financial Analyst, Carlson Companies
- 1995-1998: Senior Human Resources Consultant, Rainer Case Management, Inc.

PROFESSIONAL DESIGNATIONS, LICENSING AND EXAMS

- 2006 - Certified Financial Planner™ (CFP®). The CFP® Board of Standards grants this designation to individuals who complete an extensive course of study designed to prepare candidates to address a broad range of financial planning topics, including cash flow and budget analysis, insurance coverage's, tax matters, retirement planning, and estate planning. A comprehensive exam covering these topics is also required to be passed prior to the granting of the designation.
- 2002 – Series 7: Regulatory exam for securities agents registered representatives administered by FINRA. Registered Representative Number: PQ9
- 2002 - Series 66: Regulatory exam for securities agent and investment adviser representatives administered by FINRA.
- 2002 – Minnesota State insurance licensed for life and health. License Number: 20327395

OTHER BUSINESS ACTIVITIES

In addition to serving as your investment advisory representative John P. Severy-Hoven is engaged in the following business activities:

- Founder and President, Oracle Financial Planners, LLC. Oracle Financial Planners provides financial planning and wealth management services for individuals and businesses.

There are certain business activities in which an investment advisor representative may engage that present potential conflicts of interest. If applicable, additional disclosures relevant to your Advisor's outside business activities are outlined below. Please note that these are potential conflicts of interest and it is your Advisor's fiduciary duty to act in your best interest. If you have any questions about the disclosures please ask your Advisor as this is an opportunity to better understand your relationship and your Advisor's activities.

Your advisor is also a registered representative with Cambridge Investment Research, Inc., ("Cambridge") a registered securities broker/dealer, member of the Financial Industry Regulatory Authority (FINRA) and the Securities Investors Protection Corporation (SIPC). When acting as a registered representative of Cambridge, your advisor may sell, for commissions, general securities products such as stocks, bonds, mutual funds, exchange-traded funds, and variable annuity and variable life products to advisory clients. Clients are not obliged to purchase or sell securities through Cambridge or their Advisor. However, if you choose to establish an account with your Advisor, it is important to understand that due to regulatory constraints, your Advisor must place all purchases and sales of securities products in commission-based accounts through Cambridge or other institutions approved by Cambridge.

The receipt of commissions may create an incentive for your Advisor to recommend those products for which they will receive a commission. Consequently, the objectivity of the advice rendered to clients could be biased. Your Advisor controls for this potential conflict of interest by discussing with clients their specific needs, the benefits and negatives of establishing a fee-based account through a third-party custodian versus establishing a commission-based account through Cambridge Investment Research, Inc. and also the compensation arrangements under the different scenarios.

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Your Advisor is independently licensed to sell insurance and annuity products through various insurance companies. When acting in this capacity, your Advisor will receive commissions for selling insurance and annuity products. Clients may choose any independent insurance agent and insurance company to purchase insurance products and are not obligated to purchase insurance products through your Advisor. Regardless of the insurance agent selected, the insurance agent or agency may receive normal commissions from the sale. The receipt of compensation and other potential incentive benefits creates an incentive to recommend products to clients. At the time of any recommendations your Advisor will discuss the products, your needs and any compensation arrangements.

ADDITIONAL COMPENSATION

Certain product sponsors may provide economic benefits as a result of recommendations or sale of the product sponsors' investments. The economic benefits received can include but are not limited to, financial assistance or the sponsorship of conferences and educational sessions, marketing support, incentive awards, payment of travel expenses, and tools to assist your Advisor in providing various services to clients. These economic benefits may be received directly by your Advisor or indirectly through Cambridge Investment Research, Inc. who have entered into specific arrangements with product sponsors. These economic benefits could influence your advisor to recommend certain products/programs over others.

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.

SUPERVISION

John Severy-Hoven's investment advisory services are supervised by James D. Goodland of Securus Wealth Management, LLC. James monitors the recommendations provided by John through electronic reporting as well as personal communications and visits with John.

Bryan Scott Simmons

Year of Birth: 1963

David Martin Agency

6800 France Ave. S Suite 735

Edina, MN 55345 USA

CRD# 2145759

EDUCATIONAL BACKGROUND

- 1991 - M.B.A., Finance, University of St. Thomas, St. Paul, MN
- 1987 -B.S., Imaging Technology, Rochester Institute of Technology, Rochester NY

BUSINESS EXPERIENCE

- 2000-Present: Benefits Consultant, David Martin Agency, Inc.
- 2006-Present: Investment Advisory Representative (IAR), Securus Wealth Management, LLC
- 2002-2011: Registered Representative, Cambridge Investment Research, Inc.
- 2000-2002: Registered Representative, Washington Square Securities
- 1998-2000: Retirement Plans New Business Administration, American Express Trust Company
- 1994-1998: Pension Trust Administration, Piper Trust Company
- 1991-1994: Financial Advisor/Training Manager, American Express Financial Advisors

PROFESSIONAL DESIGNATIONS, LICENSING AND EXAMS

- 2003 – AIFA® (Accredited Investment Fiduciary Analyst™): Holders of the AIFA® mark successfully complete a specialized program on investment fiduciary standards of care and ISO assessment procedures, pass a comprehensive examination, and meet the designation's education and professional experience prerequisites. The AIFA® designees hold the knowledge necessary to understand and implement a prudent process for Investment Stewards, Investment Advisors, and Investment Managers and can perform fiduciary assessments verify or certify an entity's conformity to CEFEX's Global Fiduciary Standard of Excellence.
- 2000 – CRPS® (Chartered Retirement Plan Specialist™): Designation awarded by the College for Financial Planning in Denver Colorado to individuals completing a self-study program focused on qualified plan design and administration.
- 2000 – Series 7: Regulatory exam for securities agents and registered representatives, administered by FINRA.
- 2000 - Series 66: Regulatory exam for securities agent and investment adviser representatives administered by FINRA.
- 2000 - Minnesota State Life and Health Insurance: Regulatory exam for insurance agents administered by the state of Minnesota. License Number: 50794

OTHER BUSINESS ACTIVITIES

Your Advisor is independently licensed to sell insurance and annuity products through various insurance companies. When acting in this capacity, your Advisor will receive commissions for selling insurance and annuity products. Clients may choose any independent insurance agent and insurance company to purchase insurance products and are not obligated to purchase insurance products through your Advisor. Regardless of the insurance agent selected, the insurance agent or agency may receive normal commissions from the sale. The receipt of compensation and other potential incentive benefits creates an incentive to recommend products to clients. At the time of

any recommendations your Advisor will discuss the products, your needs and any compensation arrangements.

ADDITIONAL COMPENSATION

Bryan Simmons does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services (fees) through Securus Wealth Management, LLC.

Bryan Simmons does receive income from David Martin Agency as a benefits consultant.

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.

SUPERVISION

Bryan Simmons' investment advisory services are supervised by James D Goodland of Securus Wealth Management, LLC. James monitors the recommendations provided by Bryan through electronic reporting as well as personal communications and visits with Bryan.

Warren Walter Wilson, Jr.

Year of Birth: 1955

Wilson Financial Services

1220 Main Ave. Ste. 225A

Fargo, ND 58103-8201

CRD# 2739317

EDUCATIONAL BACKGROUND

- 1975 – Chef Training, Moorhead Technical College, Moorhead, MN

BUSINESS EXPERIENCE

- 2002-Present: Registered Representative, Cambridge Investment Research, Inc.
- 2003-Present: Investment Advisory Representative, Securus Wealth Management, LLC
- 1996-2002: Registered Representative, Prudential Securities
- 1986-1996: Sales Manager, Food Services of America
- 1975-1986: Sales Executive, Food Services of America
- 1974-1975: Head Chef, Kahler Hotel, Fargo, ND

PROFESSIONAL DESIGNATIONS, LICENSING AND EXAMS

- 1999 – Chartered Mutual Fund Counselor™ (CMFC®), College for Financial Planning
- 1998 – NASD Series 65: Uniform Investment Law Exam
- 1997– Series 7: Regulatory exam for securities agents and registered representatives, administered by FINRA. Registered Representative Number: P9K
- 1996 - Series 63: Regulatory exam for securities agent and investment adviser representatives administered by FINRA.
- 1996 Series 6: Investment Co./Variable Contracts Products Limited Rep
- 1996 – North Dakota State Life and Health Insurance: Regulatory exam for insurance agents administered by the state of North Dakota. Also licensed in Minnesota, Oregon, Mississippi, Florida, Montana, and Wyoming. License Number: 663532

OTHER BUSINESS ACTIVITIES

In addition to serving as your investment advisory representative Warren W. Wilson is engaged in the following business activities:

- Owner, Wilson Financial Services. Wilson Financial Services provides financial planning and wealth management services for individuals and businesses.

There are certain business activities in which an investment advisor representative may engage that present potential conflicts of interest. If applicable, additional disclosures relevant to your Advisor's outside business activities are outlined below. Please note that these are potential conflicts of interest and it is your Advisor's fiduciary duty to act in your best interest. If you have any questions about the disclosures please ask your Advisor as this is an opportunity to better understand your relationship and your Advisor's activities.

Your advisor is also a registered representative with Cambridge Investment Research, Inc., ("Cambridge") a registered securities broker/dealer, member of the Financial Industry Regulatory Authority (FINRA) and the Securities Investors Protection Corporation (SIPC). When acting as a registered representative of Cambridge, your advisor may sell, for commissions, general securities products such as stocks, bonds, mutual funds, exchange-traded funds, and variable annuity and

variable life products to advisory clients. Clients are not obliged to purchase or sell securities through Cambridge or their Advisor. However, if you choose to establish an account with your Advisor, it is important to understand that due to regulatory constraints, your Advisor must place all purchases and sales of securities products in commission-based accounts through Cambridge or other institutions approved by Cambridge.

The receipt of commissions may create an incentive for your Advisor to recommend those products for which they will receive a commission. Consequently, the objectivity of the advice rendered to clients could be biased. Your Advisor controls for this potential conflict of interest by discussing with clients their specific needs, the benefits and negatives of establishing a fee-based account through a third-party custodian versus establishing a commission-based account through Cambridge Investment Research, Inc. and also the compensation arrangements under the different scenarios.

Your Advisor may receive 12b-1 fees from certain mutual fund companies as outlined in the fund's prospectus. 12b-1 fees are considered distribution or marketing fees and come from fund assets and indirectly from client assets through fund expenses. There are numerous reasons why your Advisor may recommend a certain mutual fund but it is possible the receipt of such fees represents an incentive for your Advisor to recommend funds with 12b-1 fees over funds that have no fees or lower fees.

Your Advisor is independently licensed to sell insurance and annuity products through various insurance companies. When acting in this capacity, your Advisor will receive commissions for selling insurance and annuity products. Clients may choose any independent insurance agent and insurance company to purchase insurance products and are not obligated to purchase insurance products through your Advisor. Regardless of the insurance agent selected, the insurance agent or agency may receive normal commissions from the sale. The receipt of compensation and other potential incentive benefits creates an incentive to recommend products to clients. At the time of any recommendations your Advisor will discuss the products, your needs and any compensation arrangements.

ADDITIONAL COMPENSATION

Certain product sponsors may provide economic benefits as a result of recommendations or sale of the product sponsors' investments. The economic benefits received can include but are not limited to, financial assistance or the sponsorship of conferences and educational sessions, marketing support, incentive awards, payment of travel expenses, and tools to assist your Advisor in providing various services to clients. These economic benefits may be received directly by your Advisor or indirectly through Cambridge Investment Research, Inc. who have entered into specific arrangements with product sponsors. These economic benefits could influence your advisor to recommend certain products/programs over others.

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.

SUPERVISION

Warren Wilson's investment advisory services are supervised by James D. Goodland of Securus Wealth Management, LLC. James monitors the recommendations provided by Warren through electronic reporting as well as personal communications and visits with Warren.
