

## Brochure Supplement (March 4, 2014)

**Advisor Representative:**

Marc S. Wolff

1943 Morrill Street, Suite 1

Sarasota, FL 34236

**Company:**

Southern Trust Financial Planning, Inc.

1943 Morrill Street, Suite 1

Sarasota, FL 34236

941-308-0041

This “Brochure Supplement” provides information about Marc Wolff (Investment advisor representative) that supplements the information found in the Southern Trust Financial Planning, Inc. Brochure. You should have already received a copy of that brochure. Please contact Marc Wolff if you did not receive Southern Trust Financial Planning, Inc.’s advisory firm brochure or if you have any questions about the contents of this supplement.

Additional information about Marc Wolff is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

### **Educational Background and Business Experience**

Marc Wolff has successfully completed a Bachelors degree program at the University of Florida. Additional details follow:

Name: Marc Wolff

Date of Birth: April 29, 1969

Education: BS/BA Finance – University of Florida – 1992

### **Five Year Business Background:**

Southern Trust Financial Planning, Inc: 6/2004 to Present; President, Secretary, Treasurer, Chief Compliance Officer, Investment Advisor Representative

Securities America, Inc: 5/2009 to Present; Registered Representative

Moors & Cabot, Inc: 3/1999 to 5/2009; Senior Vice President – Investments, Owner, Manager SW Florida Region, Investment Advisor Representative, Registered Representative

First Southeastern Securities Group, Inc: 1/1995 to 3/1999; Registered Representative

Meridian and Associates, Inc: 3/1993 to 1/1995; Registered Representative

### **Disciplinary Information**

A. Marc Wolff has not been the subject of a criminal or civil action in any domestic, foreign or military court of competent jurisdiction.

B. Marc Wolff has never had an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority.

C. Marc Wolff has never been the subject of a self-regulatory organization (SRO) proceeding.

D. Marc Wolff has never been involved in any other proceeding in which a professional attainment, designation, or license was revoked or suspended because of a violation of rules relating to professional conduct.

**Other Business Activities**

- A. Securities America, Inc, Registered Representative
- B. Wolff Investment Planning - Owner; Investment Firm
- C. Diversified investment Planning – Owner; Investment Firm

**Additional Compensation**

Marc Wolff receives no economic benefit from any non-client individuals for providing advisory services.

**Supervision**

Marc Wolff is the Chief Compliance Officer (CCO) of Southern Trust Financial Planning, INC and is designated and empowered with full responsibility and authority to develop and enforce the firm's policies and procedures.

Securities America, Inc. has supervisory responsibilities over the advisory activities of the firm because of the investment advisor representatives' affiliations as registered representatives. However, Marc Wolff is ultimately responsible for the supervision and compliance of all persons associated with or affiliated by the firm and the implementation and enforcement of policies and procedures relating to the firm.

**Requirements for State-Registered Advisors**

- A. Marc Wolff has never been involved in any arbitration claims
- B. Marc Wolff has never been involved in any civil, self-regulatory organization, or administrative proceeding.
- C. Marc Wolff has never been the subject of any bankruptcy proceedings.

## Brochure Supplement (March 4, 2014)

**Advisor Representative:**

James P. Cooper  
1943 Morrill Street, Suite 1  
Sarasota, FL 34236

**Company:**

Southern Trust Financial Planning, Inc.  
1943 Morrill Street, Suite 1  
Sarasota, FL 34236  
941-308-0041

This “Brochure Supplement” provides information about James Cooper (Investment advisor representative) that supplements the information found in the Southern Trust Financial Planning, Inc. Brochure. You should have already received a copy of that brochure. Please contact James Cooper if you did not receive Southern Trust Financial Planning, Inc.’s advisory firm brochure or if you have any questions about the contents of this supplement.

Additional information about James Cooper is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

### **Educational Background and Business Experience**

James Cooper has successfully completed a Bachelor’s degree program at Florida State University.

Additional details follow:

Name: James Cooper

Date of Birth: November 28, 1969

Education: Florida State University, 1987-1992, BS Economic/Finance, Masters Economics

### **Five Year Business Background:**

Southern Trust Financial Planning, Inc: 6/2004 to Present, Investment Advisor Representative

Securities America, Inc: 5/2009 to Present; Registered Representative

Moors & Cabot, Inc: 6/2000 to 5/2009; Vice President – Investments, Investment Advisor Representative, Registered Representative.

### **Disciplinary Information**

A. James Cooper has not been the subject of a criminal or civil action in any domestic, foreign or military court of competent jurisdiction.

B. James Cooper has never had an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority.

C. James Cooper has never been the subject of a self-regulatory organization (SRO) proceeding.

D. James Cooper has never been involved in any other proceeding in which a professional attainment, designation, or license was revoked or suspended because of a violation of rules relating to professional conduct.

**Other Business Activities**

- A. Securities America, Inc, Registered Representative
- B. Cooper Investments - Owner; Investment Firm

**Additional Compensation**

James Cooper receives no economic benefit from any non-client individuals for providing advisory services.

**Supervision**

Marc Wolff is the supervisor for James Cooper.

**Requirements for State-Registered Advisors**

- A. James Cooper has never been involved in any arbitration claims
- B. James Cooper has never been involved in any civil, self-regulatory organization, or administrative proceeding.
- C. James Cooper has never been the subject of any bankruptcy proceedings.

## Brochure Supplement (March 4, 2014)

### Advisor Representative:

Paul Harris  
1943 Morrill Street, Suite 1  
Sarasota, FL 34236  
941-308-0041

### Company:

Southern Trust Financial Planning, Inc  
1943 Morrill Street, Suite 1  
Sarasota, FL 34236  
941-308-0041

This “Brochure Supplement” provides information about Paul Harris (Investment advisor representative) that supplements the information found in the Southern Trust Financial Planning, Inc. Disclosure Brochure. You should have already received a copy of this. Please contact Marc Wolff if you did not receive Southern Trust Financial Planning, Inc.’s advisory firm brochure or if you have any questions about the contents of this supplement.

Name: Paul Harris

Date of Birth: August 15, 1962

Additional information about Paul Harris is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

### Educational Background

1981/1985 -Citadel Bible College which is now Calvary Bible College of KC, Mo; BA in Divinity: Pastoral Missions

### Five Year Business background:

11/2009 to Present – Securities America Inc.; Registered Representative

11/2009 to Present - Southern Trust Financial Planning, Inc.; Investment Advisor Representative; Senior Vice-President - Investments

6/2002 to 11/2009 – Summit Brokerage Services, Inc; Registered Representative

1/1998 to 11/2009 – Prudential Insurance; Registered Representative

### Other Business Activities

- A. Paul Harris is a Registered Representative with Securities America, Inc.
- B. Paul Harris is actively involved in Insurance sales.
- C. Paul Harris is actively involved in Tax Preparation.
- D. Paul Harris is actively involved in Ministry.

### Additional Compensation

Paul Harris receives no economic benefit from any non-client individuals for providing advisory services.

**Supervision**

Marc Wolff is the supervisor of Paul Harris.

**Requirements for State-Registered Advisors**

- A. Paul Harris has never been involved in any arbitration claims
- B. Paul Harris has never been involved in any civil, self-regulatory organization, or administrative proceeding.
- C. Paul Harris has been the subject of bankruptcy proceedings. Discharged May 30<sup>th</sup>, 2003

## Brochure Supplement (March 4, 2014)

### Advisor Representative:

Mark Generales

9240 Bonita Beach Road, Suite 2211

Bonita Springs, FL 34135

239-676-5676

### Company:

Southern Trust Financial Planning, Inc.

1943 Morrill Street, Suite 1

Sarasota, FL 34236

941-308-0041

This “Brochure Supplement” provides information about Mark Generales (Business advisor representative) that supplements the information found in the Southern Trust Financial Planning, Inc. Brochure. You should have already received a copy of that brochure. Please contact Mark Generales if you did not receive Southern Trust Financial Planning’s advisory firm brochure or if you have any questions about the contents of this supplement.

Additional information about Mark Generales is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

### Educational Background and Business Experience

Mark Generales has successfully completed a Bachelor’s degree program at the University of Massachusetts. Additional details follow:

Name: Mark Generales

Date of Birth: September 3, 1950

Education:

9/1970 – 5-1974 Attended – University of Massachusetts

### Five Year Business Background:

2009 to Present – Southern Trust Financial Planning, Inc.

5/2008 to 9/2009 – Colonial Brokerage, Inc.

1/2004 to 8/2008 – Melhado, Flynn and Assoc.

### Disciplinary Information

A. Mark Generales has not been the subject of a criminal or civil action in any domestic, foreign or military court of competent jurisdiction.

B. Mark Generales has never had an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority.

C. Mark Generales has never been the subject of a self-regulatory organization (SRO) proceeding.

D. Mark Generales has never been involved in any other proceeding in which a professional attainment, designation, or license was revoked or suspended because of a violation of rules relating to professional conduct.

### Other Business Activities

A. Securities America, Inc.; Registered Representative

**Additional Compensation**

Mark Generales receives no economic benefit from any non-client individuals for providing advisory services.

**Supervision**

Marc Wolff is the supervisor for Mark Generales.

**Requirements for State-Registered Advisors**

- A. Mark Generales has never been involved in any arbitration claims
- B. Mark Generales has never been involved in any civil, self-regulatory organization, or administrative proceeding.
- C. Mark Generales has never been the subject of any bankruptcy proceedings.