



# Securus Wealth Management, LLC

## Form ADV, Part 2B: Brochure Supplement

January 3, 2014

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 Operating 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](http://www.adviserinfo.sec.gov).

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

Version Date: January 3, 2014

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## **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)
- 2014-Present: Managing Principal, Registered Representative, NFP Advisor Services Group
- 2014-Present: Associated Person - NFP Advisor Services Group
- 2005-2013: Associated Person - NFA, Cambridge Investment Research, Inc.
- 2000-2013: 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: 55B
- 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 California, Kansas, 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, with NFP and Paul Humphrey, with Cambridge). 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 NFP Advisor Services Group, Inc., ("NFP") a registered securities broker/dealer, member of the Financial Industry Regulatory Authority (FINRA) and the Securities Investors Protection Corporation (SIPC). NFP Advisor Services Group is a business segment of National Financial Partners Corp. (NFP) that includes NFP subsidiaries NFP Securities, Inc. (NFP SI), Member FINRA/SIPC and NFP Indesuite, Inc.

When acting as a registered representative of NFP, 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 NFP 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 NFP or other institutions approved by NFP.

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 NFP 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 NFP 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 Goodland's investment advisory services are supervised by NFP Advisor Services. NFP monitors the recommendations provided by James through electronic reporting as well as personal communications and visits with James.

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## **Erik Allen Haugo**

Year of Birth: 1967

20 2<sup>nd</sup> Street NE #1401

Minneapolis, MN 55413

### **EDUCATIONAL BACKGROUND**

- 1986-1990: St. Olaf College (BA, Economics)
- 1996-1998: University of Chicago Booth School of Business (MBA, Finance)

### **BUSINESS EXPERIENCE**

- 2012-Present: Investment Advisor Representative, Analyst, Securus Wealth Management, LLC
- 2008-2011: Business consultant, Bergen FM, LLC
- 2010: Marketing consultant, Exprentis, Inc.
- 2005-2008: Founder and software developer, Millpath LLC
- 2004-2005: Business consultant, SearchAmerica, Inc.
- 2000-2003: Founder and software developer, Hardradi LLC
- 1998-1999: Consultant, TBI Invest (Sofia, Bulgaria)
- 1990-1995: Associate, Jeffrey Slocum & Associates

### **PROFESSIONAL DESIGNATIONS, LICENSING AND EXAMS**

- 1993: Chartered Financial Analyst (CFA)

### **OTHER BUSINESS ACTIVITIES**

Erik Allen Haugo is not engaged in any outside business activities.

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.

### **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 NFP 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**

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

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## **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 NFP Advisor Services Group). 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 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**

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 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.

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## 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

- 2014-Present: Registered Representative, NFP Advisor Services Group
- 2001-Present: Investment Advisory Representative (IAR), Securus Wealth Management, LLC.
- 2001-2013: Registered Representative, Cambridge Investment Research, Inc.
- 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: 55C
- 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, with Cambridge and James Goodland, with NFP) 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 NFP Advisor Services Group, Inc., ("NFP") a registered securities broker/dealer, member of the Financial Industry Regulatory Authority (FINRA) and the Securities Investors Protection Corporation (SIPC). NFP Advisor Services Group is a business segment of National Financial Partners Corp. (NFP) that includes NFP subsidiaries NFP Securities, Inc. (NFP SI), Member FINRA/SIPC and NFP Indesuite, Inc.

When acting as a registered representative of NFP, 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 NFP 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 NFP or other institutions approved by NFP.

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 NFP 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 NFP 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.

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## **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 - 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.

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