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Frank O. Sloan

Sloan Wealth Management, LLC

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[www.sloanwm.com](http://www.sloanwm.com)

January 2014

**This Brochure Supplement provides information about Frank O. Sloan that supplements the Sloan Wealth Management Brochure. You should have received a copy of that Brochure. Please contact us at 214-720-7500 or [tpasley@sloanwm.com](mailto:tpasley@sloanwm.com) if you did not receive Sloan's Brochure or if you have any questions about the contents of this supplement.**

#### **Item 2- Educational Background and Business Experience**

Frank O. Sloan was a Senior Portfolio Manager with Stephens Inc. after his position as Partner with J.C. Bradford & Company. He graduated from both the University of Texas and the Securities Industry Institute of The Wharton School of the University of Pennsylvania. He and his staff have over 60 years of investment experience. In addition to his investment services, he has spoken at various functions on topics including asset allocation, diversification and equity selection. He is an active member of both the Association for Investment Management and Research, and the Dallas Society of Financial Analysts. Mr. Sloan has appeared in the Dallas Business Journal's "Who's Who: Profiles of the Most Influential Leaders in the Metroplex" issue several times. In 1997 and 1998, he was named one of ten U.S. All Star Brokers by Money magazine, a national personal finance publication. In October 2010 D Magazine named him one of Dallas' Top Money Managers.

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### **Item 3- 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.

### **Item 4- Other Business Activities**

Mr. Sloan is not engaged in any other business or occupation.

### **Item 5- Additional Compensation**

No information is applicable to this Item.

### **Item 6 - Supervision**

Mr. Sloan is the principal owner of the firm therefore does not have a direct supervisor. The firm, however, does retain a consultant for compliance and supervisory services.

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

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Frank O. Sloan, born March 2<sup>nd</sup>, 1944

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Frederick W. Lear, Jr.

Sloan Wealth Management, LLC

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**This Brochure Supplement provides information about Rick Lear that supplements the Sloan Wealth Management Brochure. You should have received a copy of that Brochure. Please contact us at 214-720-7500 or [tpasley@sloanwm.com](mailto:tpasley@sloanwm.com) if you did not receive Sloan's Brochure or if you have any questions about the contents of this supplement.**

#### **Item 2- Educational Background and Business Experience**

Rick Lear has two decades of experience in investment management. Mr. Lear's vision of the future of investing lead him to the independent, unbiased, boutique investment management model of Sloan Wealth Management in 2009. After working on both coasts (New York City and Los Angeles) for the largest asset managers in the country, Mr. Lear now resides (back home) in Dallas with his wife and four children.

A graduate of Southern Methodist University and the Securities Industry Institute of The Wharton School of the University of Pennsylvania, Mr. Lear has served as Vice President with Neuberger Berman and as a Senior Investment Planning Analyst with Sanford C. Bernstein & Co. in New York, Los Angeles and Dallas. At Bernstein, Lear was tapped to participate in the firm's Wealth Management Group to help solve complex investment dilemmas for high net worth families across the nation. Rick also served as a Portfolio Manager for US Trust in New York on a team responsible for a multibillion dollar quantitative, equity investment strategy.

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Mr. Lear also serves as the Chairman of the Board of Oak Hill Academy, the board of trustees of Lamplighter School, the board of trustees of Vogel Alcove and the board of trustees of Positive Coaching Alliance.

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### **Item 4- Other Business Activities**

Mr. Lear is not engaged in any other business or occupation.

### **Item 5- Additional Compensation**

No information is applicable to this Item.

### **Item 6 - Supervision**

We are required to explain how we supervise Rick Lear, including how we monitor the advice that Mr. Lear provides to clients. We will provide the name, title, and telephone number of the person responsible for supervising his advisory activities on behalf of our firm upon request.

Trading strategy and transactional decisions are a Sloan Wealth Management Team effort therefore creating a transparent advisory environment. In addition, the firm's CCO or designee, will review Rick Lear's accounts at least annually. These reviews will consist of comparing account activity to the personal information collected on the account information form such as financial condition, investment objectives, and risk tolerance as well as trading frequency. The designated examiner will review the following documents related to client accounts as applicable: daily blotters, new account applications, advisory agreements, daily money/asset movement, annual office inspections, email review, risk surveillance and suspicious activity. The examiner will also review: accurate and proper documentation, risk tolerance, investment objectives, and trading in the client's account. Special or in depth reviews of an account would take place should there be questions or concerns from a client regarding activity or fees, issues with a representative, or if the designated reviewer detects problematic activity. In addition, all incoming and outgoing correspondence from Clients is reviewed by the CCO or designee.

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

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Rick Lear, October 9<sup>th</sup>, 1974

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Casey W. Conway  
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**This Brochure Supplement provides information about Casey Conway that supplements the Sloan Wealth Management Brochure. You should have received a copy of that Brochure. Please contact us at 214-720-7500 or [tpasley@sloanwm.com](mailto:tpasley@sloanwm.com) if you did not receive Sloan's Brochure or if you have any questions about the contents of this supplement.**

#### **Item 2- Educational Background and Business Experience**

Casey W. Conway is a portfolio manager with Sloan Wealth Management, responsible for research and execution of the firm's tactical allocation strategy. He also works closely handling all other aspects of client relationships. Mr. Conway has been with the Sloan team since 2003. From 2000-2003, he served as Vice President of Finance for a large regional oil company. Prior to 2000, Mr. Conway worked with the commercial banking group with Bank One, predecessor of JPMorgan Chase bank. Mr. Conway graduated from Southern Methodist University in Dallas and the Securities Industry Institute of The Wharton School of the University of Pennsylvania. Mr. Conway serves on the Board of Trustees for the Cystic Fibrosis Foundation-Northeast Texas Chapter, is a member of Children's Medical Trust and has worked as a mentor with the Big Brothers Big Sisters North Texas.

#### **Item 3- 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.

#### **Item 4- Other Business Activities**

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Mr. Conway is not engaged in any other business or occupation.

#### **Item 5- Additional Compensation**

No information is applicable to this Item.

#### **Item 6 - Supervision**

We are required to explain how we supervise Casey Conway, including how we monitor the advice that Mr. Conway provides to clients. We will provide the name, title, and telephone number of the person responsible for supervising his advisory activities on behalf of our firm upon request.

Trading strategy and transactional decisions are a Sloan Wealth Management Team effort therefore creating a transparent advisory environment. In addition, the firm's CCO or designee, will review Casey Conway's accounts at least annually. These reviews will consist of comparing account activity to the personal information collected on the account information form such as financial condition, investment objectives, and risk tolerance as well as trading frequency. The designated examiner will review the following documents related to client accounts as applicable: daily blotters, new account applications, advisory agreements, daily money/asset movement, annual office inspections, email review, risk surveillance and suspicious activity. The examiner will also review: accurate and proper documentation, risk tolerance, investment objectives, and trading in the client's account. Special or in depth reviews of an account would take place should there be questions or concerns from a client regarding activity or fees, issues with a representative, or if the designated reviewer detects problematic activity. In addition, all incoming and outgoing correspondence from Clients is reviewed by the CCO or designee.

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

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Casey Conway, born February 9<sup>th</sup>, 1973

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James P. Henry  
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**This Brochure Supplement provides information about James Henry that supplements the Sloan Wealth Management Brochure. You should have received a copy of that Brochure. Please contact us at 214-720-7500 or [tpasley@sloanwm.com](mailto:tpasley@sloanwm.com) if you did not receive Sloan's Brochure or if you have any questions about the contents of this supplement.**

#### **Item 2- Educational Background and Business Experience**

James P. Henry is an associate portfolio manager with Sloan Wealth Management, where he is responsible for research, trading, and execution of the firm's tactical allocation strategy. For the past 6 years, James was a member of a private client team at Neuberger Berman in Dallas where he advised on all aspects of investment strategy, wealth preservation and growth, and personal financial planning. Prior to his position at Neuberger, James worked in the equity research department at Hodges Capital Management in Dallas, where he published research on companies in various industries. James received a B.S. in finance from the Leeds School of Business at the University of Colorado at Boulder and an MBA in finance from the Cox School of Business at SMU in Dallas.

#### **Item 3- 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.

#### **Item 4- Other Business Activities**

Mr. Henry is not engaged in any other business or occupation.



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### **Item 5- Additional Compensation**

No information is applicable to this Item.

### **Item 6 - Supervision**

We are required to explain how we supervise James Henry, including how we monitor the advice that Mr. Henry provides to clients. We will provide the name, title, and telephone number of the person responsible for supervising his advisory activities on behalf of our firm upon request.

Trading strategy and transactional decisions are a Sloan Wealth Management Team effort therefore creating a transparent advisory environment. In addition, the firm's CCO or designee, will review James Henry's accounts at least annually. These reviews will consist of comparing account activity to the personal information collected on the account information form such as financial condition, investment objectives, and risk tolerance as well as trading frequency. The designated examiner will review the following documents related to client accounts as applicable: daily blotters, new account applications, advisory agreements, daily money/asset movement, annual office inspections, email review, risk surveillance and suspicious activity. The examiner will also review: accurate and proper documentation, risk tolerance, investment objectives, and trading in the client's account. Special or in depth reviews of an account would take place should there be questions or concerns from a client regarding activity or fees, issues with a representative, or if the designated reviewer detects problematic activity. In addition, all incoming and outgoing correspondence from Clients is reviewed by the CCO or designee.

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

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

James Henry, born December 15<sup>th</sup>, 1981

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# Christopher C. Davis

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January 2014

**This Brochure Supplement provides information about Chris Davis that supplements the Sloan Wealth Management Brochure. You should have received a copy of that Brochure. Please contact us at 214-720-7500 or [tpasley@sloanwm.com](mailto:tpasley@sloanwm.com) if you did not receive Sloan's Brochure or if you have any questions about the contents of this supplement.**

## **Item 2- Educational Background and Business Experience**

Christopher C. Davis brings over 16 years of experience in business building and client advisory in the public and private markets. This background enables Mr. Davis to provide a very personal and comprehensive approach of investment advice and management to his high net worth clients including family offices and business owners. Mr. Davis works closely with his clients and their professional advisors on a wide range of investment matters, including tax and estate planning, concentrated stock positions and the sale of privately held businesses.

Prior to joining the firm, Mr. Davis was a Vice President with Bernstein Global Wealth Management; the president and CEO of software firm Semantra, Inc., and before that he was with Motorola, where he was a Senior Vice President responsible for building and leading its software services unit. Earlier, he was President of software and consulting firm MobileGateway. Mr. Davis earned a BBA in marketing and an MBA in finance/entrepreneurship, both from the University of Texas, Austin. He is active and on the board of Association for Corporate Growth (ACG), the Children's Trust of the Children's Medical Center and the Dads' Partnership board of the Episcopal School of Dallas.

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### **Item 3- 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.

### **Item 4- Other Business Activities**

Mr. Davis is not engaged in any other business or occupation.

### **Item 5- Additional Compensation**

No information is applicable to this Item.

### **Item 6 - Supervision**

We are required to explain how we supervise Chris Davis, including how we monitor the advice that Mr. Davis provides to clients. We will provide the name, title, and telephone number of the person responsible for supervising his advisory activities on behalf of our firm upon request.

Trading strategy and transactional decisions are a Sloan Wealth Management Team effort therefore creating a transparent advisory environment. In addition, the firm's CCO or designee, will review Chris Davis' accounts at least annually. These reviews will consist of comparing account activity to the personal information collected on the account information form such as financial condition, investment objectives, and risk tolerance as well as trading frequency. The designated examiner will review the following documents related to client accounts as applicable: daily blotters, new account applications, advisory agreements, daily money/asset movement, annual office inspections, email review, risk surveillance and suspicious activity. The examiner will also review: accurate and proper documentation, risk tolerance, investment objectives, and trading in the client's account. Special or in depth reviews of an account would take place should there be questions or concerns from a client regarding activity or fees, issues with a representative, or if the designated reviewer detects problematic activity. In addition, all incoming and outgoing correspondence from Clients is reviewed by the CCO or designee.

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

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Christopher Davis, born March 10<sup>th</sup>, 1969