

**Roger Shepherd**

Office Address: 2716 Ocean Park Boulevard, Suite 2000  
Santa Monica, CA 90405  
Office Phone: (310) 895-7400

**Item 1. Cover Page**

**Vision Investment Advisors, LLC**

4 High Ridge Park, Suite 100  
Stamford, Connecticut 06905  
(610) 220-1446  
3.12.2015

**This Brochure Supplement provides information about Roger Shepherd that supplements the Brochure of Vision Investment Advisors, LLC ("Vision Advisors"). You should have received a copy of that Brochure. Please contact Vision Advisors at 1-877-836-3949 if you did not receive Vision Advisor's Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Roger Shepherd is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## **Item 2. Education and Business Background**

Roger Shepherd born 1951 received his Bachelor's Degree as an undergraduate with a focus in the study of art. Mr. Shepherd is a Series 65 Registered Investment Advisor with Vision Investment Advisors ("VIA"). He also holds his Series 7 and practices as a Registered Representative with Vision Brokerage Services. Mr. Shepherd is registered as an Associated Person and Branch Office Manager of High Ridge Futures LLC. He was the President, CEO, a Principal and an Associated Person of Alpha Futures, which was an introducing futures broker from January 2004- April 2012.

## **Item 3. Disciplinary Information**

Roger Shepherd does not have any disciplinary information to report.

## **Item 4. Other Business Activities**

Mr. Shepherd is a Series 65 Registered Investment Advisor with Vision Investment Advisors ("VIA"). He also holds his Series 7 and practices as a Registered Representative with Vision Brokerage Services ("VBS") a broker/dealer.

Along with this, as stated above, he is a Branch Office Manager and an Associated Person of High Ridge Futures LLC, a Futures Commission Merchant. He spends around 200 plus hours at the Firm per month and it substantially affects his income.

Vision Financial Markets, Vision Brokerage Services and High Ridge Futures (collectively "Affiliates") are affiliated entities of Vision Advisors, and all of which are under the common control and ownership of Howard Rothman. Affiliates share and provide services to Vision Advisors and its Clients, including certain employees and other associated persons.

Mr. Shepherd does not receive any commissions from clients of Vision Investment Advisors. As per the Form ADV, he receives a percentage of the fully-disclosed fees charged to the client under written agreement. Essential to managing conflicts between its Affiliates, Vision Advisor makes this disclosure to clients, in addition to taking into consideration the different needs of both retail and institutional clients as is necessary and which occasionally may be reviewed. Therefore, Mr. Shepherd's relationship with

Mr. Shepherd receives commissions on the sale of investment products with High Ridge Futures and Vision Brokerage Services.

## **Item 5. Additional Compensation**

Mr. Shepherd does not receive any sort of additional compensation that is not discussed in the above section.

## **Item 6. Supervision**

Advisor Representatives ("IARs") hold either a FINRA Series 7 and 66 or a Series 65 and are permitted to give advice to their clients and to discuss specific investments. All IARs are required to read and acknowledge their understanding of applicable compliance procedures. IARs are required to keep files related to their activities, subject to the review of Vision Advisors. E-mail correspondence and fees of Vision Advisors IARs is reviewed on a regular basis. Steven Silver is the Chief Compliance Officer and the Chief Operating Officer for Vision Advisors and is responsible for supervision of all IARs and is located at Vision Advisors Main office at 4 High Ridge Park, Stamford CT, 06905. Mr. Silver can be reached via phone at 203.388.2675 or via e-mail at: [ssilver@visionfinancialmarkets.com](mailto:ssilver@visionfinancialmarkets.com).

#### **Item 7. Requirements for State Registered Investment Advisors**

The IAR has no disclosable material facts or events as required to be disclosed by State-Registered Advisers that relates to arbitrations, civil or self-regulatory organization or administrative procedures other than those listed in Item 3. *Disciplinary information* and no bankruptcies.