

*This brochure supplement provides information about James Robert Allan that supplements the ASC Wealth & Retirement Advisors LLC brochure. You should have received a copy of that brochure. Please contact James Robert Allan if you did not receive ASC Wealth & Retirement Advisors LLC's brochure or if you have any questions about the contents of this supplement.*

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

# **ASC Wealth & Retirement Advisors LLC**

## **Form ADV Part 2B – Individual Disclosure Brochure**

*for*

**James Robert Allan**

Personal CRD Number: 1189422

Investment Adviser Representative

ASC Wealth & Retirement Advisors LLC  
5583 Waterford Lane, Suite A  
Appleton, WI 54913  
(920) 735-9800  
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## Item 2: Educational Background and Business Experience

**Name:** James Robert Allan      **Born:** 1955

### Educational Background and Professional Designations:

#### Education:

BBA Comprehensive Public Accounting, University of Wisconsin Eau Claire - 1977

#### Business Background:

04/2015 - Present	President ASC Wealth & Retirement Advisors LLC
04/2009 - Present	VP/Owner Verus Investment Advisory Group Inc
04/2005 - 07/2010	Registered Representative Purshe Kaplan Sterling Investments
02/2009 - 04/2009	Registered Representative SII Investments, Inc.
06/1986 - 04/2009	President/owner Allan,Haugner & Hunt Inc

## Item 3: Disciplinary Information

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

#### **Item 4: Other Business Activities**

James Robert Allan is an accountant. Mr. Allan will not offer clients any advice or services from this activity. ASC Wealth & Retirement Advisors LLC always acts in the best interest of the client and clients are in no way required to utilize the services of any representative of ASC Wealth & Retirement Advisors LLC in connection with such individual's activities outside of ASC Wealth & Retirement Advisors LLC.

James Robert Allan is an independent licensed insurance agent, and from time to time, will offer clients advice or products from those activities. Clients should be aware that these services pay a commission or other compensation and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment adviser. ASC Wealth & Retirement Advisors LLC always acts in the best interest of the client; including the sale of commissionable products to advisory clients. Clients are in no way required to utilize the services of any representative of ASC Wealth & Retirement Advisors LLC in connection with such individual's activities outside of ASC Wealth & Retirement Advisors LLC.

#### **Item 5: Additional Compensation**

James Robert Allan does not receive any economic benefit from any person, company, or organization, other than ASC Wealth & Retirement Advisors LLC in exchange for providing clients advisory services through ASC Wealth & Retirement Advisors LLC.

#### **Item 6: Supervision**

As the only owner and representative of ASC Wealth & Retirement Advisors LLC, James Robert Allan supervises all activities of the firm. James Robert Allan's response information is on the cover page of this disclosure document. James Robert Allan adheres to all required regulations regarding the activities of an Investment Adviser Representative and follows all policies and procedures outlined in the firm's policies and procedures manual, including the Code of Ethics, and appropriate securities regulatory requirements.