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## **BROCHURE SUPPLEMENT**

**Thomas Grogan, CPA**

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**WEALTH ADVISORS NETWORK, INC.  
CRD #113836**

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**Buffalo, NY 14210**

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**[www.capc.com/wan/](http://www.capc.com/wan/)**

**December 1, 2017**

**This Brochure Supplement provides information about Thomas Grogan, CPA that supplements the Wealth Advisors Network, Inc. Brochure document. You should have received a copy of that Brochure with this Supplement. Please contact Jeni Charron, Chief Compliance Officer, at (402) 463-6769 if you did not receive Wealth Advisors Network, Inc.'s Brochure or if you have any questions about the contents of this Brochure Supplement. Please note that while we are a registered investment advisor or "RIA", this registration does not imply any particular level of skill or training.**

**Additional information about Tom Grogan is available on the SEC's website at [www.advisorinfo.sec.gov](http://www.advisorinfo.sec.gov). The SEC's web site also provides information about any persons affiliated with Wealth Advisors Network, Inc. who are registered, or are required to be registered, as investment adviser representatives of Wealth Advisors Network, Inc.**

### **Education and Business Experience**

**Birth Year – 1955**

#### **EDUCATION**

**Indiana University of Pennsylvania 1973-1977 BS in Accounting**

#### **EMPLOYMENT**

**Brock Schechter & Polakoff LLP 1978 - present – Partner**

Wealth Advisors Network, Inc. 2017 - present - Registered Investment Adviser Representative  
1<sup>st</sup> Global Capital Corp. 1/2008 – 12/2017 – Registered Representative  
1<sup>st</sup> Global Advisors, Inc. 1/2008 – 12/2017 – Investment Advisor Representative  
Cambridge Investment Research, Inc. 12/2017 - present – Registered Representative

## **LICENSES AND PROFESSIONAL DESIGNATIONS HELD**

FINRA Series 6 Investment Co and Variable Contracts Products Representative (2003)  
FINRA Series 7 General Securities Representative (2004)  
FINRA Series 63 (2003)

Tom Grogan holds the following certifications, designations and professional licenses:

1. **Certified Public Accountant (1981)**

The requirements for a person to become a CPA in New York are following:

150 semester hours of education in specific subjects.

Passage of all parts of the CPA exam.

Completion of 2,000 hours over two years of verified experience with a licensed CPA in a licensed CPA firm.

Continuing Educations Requirements - Complete 4 contact hours of acceptable professional ethics during every 3 calendar years AND complete one of the following requirements:

- 24 contact hours concentrated in one of the recognized subject areas OR
- 40 contact hours in a combination of any recognized subject area

## **Disciplinary Information**

Does Tom Grogan have any material legal or disciplinary events to disclose? **No**

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.

## **Other Business Activities and Additional Compensation**

Tom is a licensed insurance agent and can offer various insurance products for which he may earn a commission. WAN is a licensed insurance agency in Nebraska. Tom is a registered representative of Cambridge Investment Research, Inc., a registered broker-dealer, Member FINRA/SIPC. Clients are under no obligation to purchase or sell securities through the Advisory Representatives. However, if they choose to implement their plan, commissions may be earned in addition to any fees paid for advisory services. Commissions maybe higher or lower at Cambridge than at other broker-dealers. Tom may have a conflict of interest in having clients purchase securities and or insurance related products through Cambridge in that the higher their production with Cambridge the greater opportunity for obtaining a higher payout on commissions earned. Further, Tom is

restricted to only offering those products and services that have been reviewed and approved for offering to the public through Cambridge Investment Research, Inc. Most trades will be referred to Cambridge Investment Research, Inc. for execution. Tom may earn reasonable and customary commission and/or 12b-1 fees on the sale of insurance, advisory or securities products to clients. The commission will be outlined in the product's prospectus or offering document or described in detail before the products is sold.

Cambridge Investment Research has a clearing relationship with National Financial Services LLC, member NYSE, SIPC (NFS LLC). NFS, LLC will execute trades in client accounts at the direction of Tom. Trades will be referred to Cambridge Investment Research, Inc., a broker-dealer for execution. Clients are advised that a conflict of interest exists since the broker-dealer may receive compensation on the transactions.

Tom may buy or sell for himself securities he also recommends to clients.

Tom is a certified public accountant with Brock Schechter & Polakof LLP.

### **Supervision**

Tom Grogan is a contracted employee of Wealth Advisors Network, Inc., and his advisory services are accordingly self-supervised through a program administered by Jeni Charron, Chief Compliance Officer. Advisory activities are supervised in several ways at various stages of the client relationship. Prior to implementation, the client's paperwork is reviewed to ensure the account is being established in accordance with the client's stated objectives and risk tolerance. Subsequent transactions are reviewed through manual reviews to ensure they are suitable. The account will be monitored on a periodic basis to ensure it is being managed in accordance with the client's stated objectives and tolerance for risk and has not drifted too far from the original asset allocation.