

*his brochure supplement provides information about Patrick Terrence Ross that supplements the Ross\Johnson & Associates, LLC brochure. You should have received a copy of that brochure. Please contact Patrick Terrence Ross if you did not receive Ross\Johnson & Associates, LLC's brochure or if you have any questions about the contents of this supplement.*

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



**ROSS | JOHNSON  
& ASSOCIATES**

## Form ADV Part 2B – Individual Disclosure Brochure

*for*

**Patrick Terrence Ross**

Personal CRD Number: 2387120

Investment Adviser Representative

Ross\Johnson & Associates, LLC  
3380 Annapolis Lane N B-100  
Plymouth, MN 55447  
(763) 548-9724  
[pat@rossjohnsonweb.com](mailto:pat@rossjohnsonweb.com)

UPDATED: 11/21/2018

## Item 2: Educational Background and Business Experience

**Name:** Patrick Terrence Ross      **Born:** 1968

### Educational Background and Professional Designations:

### Business Background:

08/2018 - Present	Member Ross\Johnson & Associates, LLC
08/2018 - Present	Field Representative Penn Mutual
05/1999 – 07/2018	Registered Representative Park Avenue Securities
05/1999 - Present	Field Representative Guardian

## 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

Patrick Terrence Ross is a registered representative. From time to time, he will offer clients advice or products from this activity. Clients should be aware that these services pay a commission and involve a possible conflict of interest, as commissionable products can conflict with the fiduciary duties of a registered investment adviser. Ross\Johnson & Associates, LLC always acts in the best interest of the client; including in the sale of commissionable products to advisory clients. Clients are in no way required to utilize the services any representative of Ross\Johnson & Associates, LLC in such individual's outside capacity.

Patrick Terrence Ross is a licensed insurance agent. From time to time, he will offer clients advice or products from this activity. Clients should be aware that these services pay a commission and involve a possible conflict of interest, as commissionable products can conflict with the fiduciary duties of a registered investment adviser. Ross\Johnson & Associates, LLC always acts in the best interest of the client; including in the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any representative of Ross\Johnson & Associates, LLC in their capacity as a licensed insurance agent.

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

Patrick Terrence Ross does not receive any economic benefit from any person, company, or organization, other than Ross\Johnson & Associates, LLC in exchange for providing clients advisory services through Ross\Johnson & Associates, LLC.

### **Item 6: Supervision**

As a representative of Ross\Johnson & Associates, LLC, Patrick Terrence Ross is supervised by Anthony R Johnson, the firm's Chief Compliance Officer. Anthony R Johnson is responsible for ensuring that Patrick Terrence Ross adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Anthony R Johnson is (763) 548-9725.

### **Item 7: Requirements For State Registered Advisers**

*This disclosure is required by state securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

A. Patrick Terrence Ross has not been involved in any of the events listed below.

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
  - a) an investment or an investment-related business or activity;
  - b) fraud, false statement(s), or omissions;
  - c) theft, embezzlement, or other wrongful taking of property;
  - d) bribery, forgery, counterfeiting, or extortion; or
  - e) dishonest, unfair, or unethical practices.

2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
  - a) an investment or an investment-related business or activity;
  - b) fraud, false statement(s), or omissions;
  - c) theft, embezzlement, or other wrongful taking of property;
  - d) bribery, forgery, counterfeiting, or extortion; or
  - e) dishonest, unfair, or unethical practices.

B. Patrick Terrence Ross has not been the subject of a bankruptcy petition.