

# Solaris Advisors, LLC

## Brochure Supplement

January 1, 2019

645 Madison Avenue  
New York NY 10022  
212-582-4500  
[www.solarisgroupllc.com](http://www.solarisgroupllc.com)

## **THE BROCHURE SUPPLEMENT**

The attached Brochure Supplements provide clients with information about the individuals providing investment advisory services. A supplement is provided for any supervised person who formulates investment advice and has direct client contact and has discretionary authority over client assets, even without direct client contact.

Six separate disclosure items are required providing information about the supervised person's educational background, business experience, compensation and disciplinary information. They are outlined here:

- Item 1 – Cover Page
- Item 2 – Educational Background and Business Experience
- Item 3 – Disciplinary Information
- Item 4 – Other Business Activities
- Item 5 – Additional Compensation
- Item 6 – Supervision

### **Index to Brochure Supplements**

<u>Individuals Providing Investment Advisory Services</u>	<u>Page</u>
Ralph D. Sinsheimer.....	3
Albert C. Bellas.....	4
Stephen Brent Wells.....	5
James P. Jeffery.....	6
Timothy J. Lindsay.....	7
Amy L. Brackett.....	8
William Owen Wimmer, Jr.....	9
Jackson L. Camps.....	10
David B. Raphael.....	11

**Item 1 - Cover Page**

**Ralph D. Sinsheimer**  
**Solaris Advisors, LLC**  
645 Madison Avenue, New York, NY 10022  
212-582-4500

January 1, 2019

**This Brochure Supplement provides information about Ralph D. Sinsheimer that supplements the Solaris Advisors' Brochure. You should have received a copy of that Brochure. Please contact Stephen Brent Wells, Chief Compliance Officer if you did not receive Solaris Advisor's Brochure or if you have any questions about the contents of this Supplement.**

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

Name: Ralph D. Sinsheimer  
Year of Birth: 1954  
Formal Education: Trinity College, BA 1977;  
New York University, MBA 1982  
Business Background: Senior Vice President and Head of Wealth Management  
Neuberger Berman Trust Companies, 2001-2003;  
Managing Director, OFFITBANK 1997-2001  
Partner, Eureka Capital Management 1995-1997  
Director of Funds, Loomis Sayles & Company 1985-1995

**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**

None

**Item 5 - Additional Compensation**

None

**Item 6 - Supervision**

Mr. Sinsheimer is a founding partner of Solaris Advisors and heads up the Wealth Management and Investment Consulting practice. He is currently the Chairman of the Solaris Investment Committee. As part of the management of the business, the four founding partners have regular interaction and discussion of their activities, goals and objectives. Please contact Stephen B. Wells, CCO with any questions.

**Item 1 - Cover Page**

Albert C. Bellas  
Solaris Advisors, LLC  
645 Madison Avenue, New York, NY 10022  
212-582-4500

January 1, 2019

**This Brochure Supplement provides information about Albert C. Bellas that supplements the Solaris Advisors' Brochure. You should have received a copy of that Brochure. Please contact Stephen Brent Wells, Chief Compliance Officer if you did not receive Solaris Advisor's Brochure or if you have any questions about the contents of this Supplement.**

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

Name: Albert C. Bellas  
Year of Birth: 1942  
Formal Education: Yale University, BA 1964;  
University of Chicago, JD 1967;  
Columbia University, MBA 1968  
Business Background: Chairman and CEO, Neuberger Berman Trust  
Companies, 2001-2003;  
Managing Director, OFFITBANK, 1991-2000  
SEVP, Lehman Brothers, 1978-1990  
General Partner, Loeb Rhoades & Co. 1976-1978  
VP, Goldman Sachs & Co. 1972-1975  
Associate, Dillon Read & Co. 1968-1972

**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. Bellas currently is an Associated Person of TGP Securities, Inc. This arrangement is not material to our investment management business and does not present any conflict of interest to any client of Solaris Advisors, LLC.

**Item 5 - Additional Compensation**

None

**Item 6 - Supervision**

Mr. Bellas is a founding partner of Solaris Advisors. He serves on the Solaris Investment Committee. As part of the management of the business, the four founding partners have regular interaction and discussion of their activities, goals and objectives. Please contact Stephen B. Wells, CCO with any questions.

**Item 1 - Cover Page**

**Stephen Brent Wells**  
**Solaris Advisors, LLC**  
645 Madison Avenue, New York, NY 10022  
212-582-4500

January 1, 2019

**This Brochure Supplement provides information about Stephen Brent Wells that supplements the Solaris Advisors' Brochure. You should have received a copy of that Brochure. Please contact Stephen Brent Wells, Chief Compliance Officer if you did not receive Solaris Advisor's Brochure or if you have any questions about the contents of this Supplement.**

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

Name: Stephen Brent Wells  
Year of Birth: 1944  
Formal Education: Princeton University, BA 1966;  
New York University School of Law, JD 1969  
Business Background: President, Neuberger Berman Trust Companies, 2001-2003;  
Managing Director, OFFITBANK, 1994-2001  
General Counsel, Gabelli Family of Companies 1993-1994  
General Counsel, Goldman Sachs Asset Management 1989-1993  
General Counsel, Morgan Stanley Asset Management 1980-1989  
VP and Fiduciary Counsel, Irving Trust Company 1977-1980  
Senior Associate, Cadwalader, Wickersham & Taft 1973-1977  
Associate, Davidson, Dawson & Clark 1969-1973

**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**

None

**Item 5 - Additional Compensation**

None

**Item 6 - Supervision**

Mr. Wells is a founding partner of Solaris Advisors. He serves on the Solaris Investment Committee and is Chairman of the Solaris Administration and Operations Committee. As part of the management of the business, the four founding partners have regular interaction and discussion of their activities, goals and objectives. Please contact Albert C. Bellas, Founding Partner and Managing Director with any questions.

**Item 1 - Cover Page**

**James P. Jeffery**  
**Solaris Asset Management, LLC**  
645 Madison Avenue, New York, NY 10022  
212-582-4500

January 1, 2019

**This Brochure Supplement provides information about James P. Jeffery that supplements the Solaris Advisors' Brochure. You should have received a copy of that Brochure. Please contact Stephen Brent Wells, Chief Compliance Officer if you did not receive Solaris Advisor's Brochure or if you have any questions about the contents of this Supplement.**

**Item 2 Educational Background and Business Experience**

Name: James P. Jeffery, CFA  
Year of Birth: 1957  
Formal Education: Duke University, B.A., Management Science, 1978  
Graduate School of Business, NYU, New York, NY, M.B.A., Finance, 1986  
Business Background: Jeffery Asset Management, LLC, 10/2000 – June 30, 2015 Member  
Herbert J. Sims & Co., 11/1994 - 10/2000, Executive Vice President

Chartered Financial Analyst (CFA) Candidates must meet one of the following requirements:

- Undergraduate degree and 4 years of professional experience involving investment decision- making, or
  - 4 years qualified work experience (full time, but not necessarily investment related)
- Educational Requirements: Candidates must pass 3 course exams after completing a self-study program that consists of 250 hours of study for each of the 3 levels.

**Item 3 Disciplinary Information**

Mr. Jeffery does not have, nor has he ever had, any disciplinary disclosure.

**Item 4 Other Business Activities**

None

**Item 5 Additional Compensation**

None

**Item 6 Supervision**

Mr. Jeffery is a Managing Director of Solaris Advisors, LLC. He serves on the Investment Committee. He is supervised by Ralph D. Sinsheimer. Please contact Stephen B. Wells, CCO with any questions.

## **Item 1 - Cover Page**

**Timothy J. Lindsay**  
**Solaris Advisors, LLC**  
645 Madison Avenue, New York, NY 10022  
212-582-4500

January 1, 2019

**This Brochure Supplement provides information about Timothy J. Lindsay that supplements the Solaris Advisors' Brochure. You should have received a copy of that Brochure. Please contact Stephen Brent Wells, Chief Compliance Officer if you did not receive Solaris Advisor's Brochure or if you have any questions about the contents of this Supplement.**

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

Name: Timothy J. Lindsay  
Year of Birth: 1975  
Formal Education: Fordham University, BS 1997  
Business Background: Senior Analyst / Research and Consulting,  
Lehman Trust Co., 2003-2005  
Analyst, Neuberger Berman LLC, Neuberger Berman Trust Co., and  
Neuberger Berman Management, 1997-2003

Chartered Financial Analyst (CFA) Candidates must meet one of the following requirements:

- Undergraduate degree and 4 years of professional experience involving investment decision-making, or
- 4 years qualified work experience (full time, but not necessarily investment related) Educational Requirements: Candidates must pass 3 course exams after completing a self-study program that consists of 250 hours of study for each of the 3 levels.

Tim is also a member of the NYSSA, New York Society of Security Analysts, which is the largest of the more than 135 societies worldwide that comprise the CFA Institute, whose members represent a segment of the financial industry and are recognized as ethical, knowledgeable members of the investment decision-making community.

## **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**

None

## **Item 5 - Additional Compensation**

None

## **Item 6 - Supervision**

Mr. Lindsay is a Senior Vice President and Director of Research, and he serves on the Solaris Investment Committee. He is supervised by Ralph D. Sinsheimer, Founding Partner and Managing Director of Solaris Advisors, LLC.

**Item 1 - Cover Page**

Amy L. Brackett  
Solaris Advisors, LLC  
645 Madison Avenue, New York, NY 10022  
212-582-4500

January 1, 2019

**This Brochure Supplement provides information about Amy L. Brackett that supplements the Solaris Advisors' Brochure. You should have received a copy of that Brochure. Please contact Stephen Brent Wells, Chief Compliance Officer if you did not receive Solaris Advisor's Brochure or if you have any questions about the contents of this supplement.**

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

Name: Amy L. Brackett, CFA  
Year of Birth: 1979  
Formal Education: Washington University St. Louis, BS 2001  
Business Background: Equity Research Associate, TIAA-CREF, 2003-2007

Chartered Financial Analyst (CFA) Candidates must meet one of the following requirements:

- Undergraduate degree and 4 years of professional experience involving investment decision-making, or
- 4 years qualified work experience (full time, but not necessarily investment related) Educational Requirements: Candidates must pass 3 course exams after completing a self-study program that consists of 250 hours of study for each of the 3 levels.

**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**

None

**Item 5 - Additional Compensation**

None

**Item 6 - Supervision**

Ms. Brackett is a Senior Vice President, and she serves on the Solaris Investment Committee. She is supervised by Ralph D. Sinsheimer, Founding Partner and Managing Director of Solaris Advisors, LLC.



**Item 1 - Cover Page**

**William Owen Wimmer, Jr.**  
**Solaris Advisors, LLC**  
645 Madison Avenue, New York, NY 10022  
212-582-4500

January 1, 2019

**This Brochure Supplement provides information about William Owen Wimmer, Jr. that supplements the Solaris Advisors' Brochure. You should have received a copy of that Brochure. Please contact Stephen Brent Wells, Chief Compliance Officer if you did not receive Solaris Advisor's Brochure or if you have any questions about the contents of this supplement.**

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

Name: William Owen Wimmer, Jr.  
Year of Birth: 1985  
Formal Education: Loyola College of Maryland, BBA 2008  
Business Background: Derivatives Analyst, KBC Financial Products, 2008-2009

**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**

None

**Item 5 - Additional Compensation**

None

**Item 6 - Supervision**

Mr. Wimmer is a Vice President, and he serves on the Solaris Investment Committee and is supervised by Ralph D. Sinsheimer, Founding Partner and Managing Director of Solaris Advisors, LLC.

**Item 1 - Cover Page**

**Jackson L. Camps**  
**Solaris Advisors, LLC**  
645 Madison Avenue, New York, NY 10022  
212-582-4500

January 1, 2019

**This Brochure Supplement provides information about Jackson L. Camps that supplements the Solaris Advisors' Brochure. You should have received a copy of that Brochure. Please contact Stephen Brent Wells, Chief Compliance Officer if you did not receive Solaris Advisor's Brochure or if you have any questions about the contents of this supplement.**

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

Name: Jackson Lowell Camps  
Year of Birth: 1988  
Formal Education: University of Richmond, BSBA 2010  
Business Background:

**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**

None

**Item 5 - Additional Compensation**

None

**Item 6 - Supervision**

Mr. Camps is a Manager, and he serves on the Solaris Investment Committee and is supervised by Ralph D. Sinsheimer, Founding Partner and Managing Director of Solaris Advisors, LLC.

**Item 1 - Cover Page**

David B. Raphael  
Solaris Advisors, LLC  
645 Madison Avenue, New York, NY 10022  
212-582-4500

January 1, 2019

**This Brochure Supplement provides information about David B. Raphael that supplements the Solaris Advisors' Brochure. You should have received a copy of that Brochure. Please contact Stephen Brent Wells, Chief Compliance Officer if you did not receive Solaris Advisor's Brochure or if you have any questions about the contents of this supplement.**

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

Name: David B. Raphael  
Year of Birth: 1990  
Formal Education: The University of Georgia, BBA 2012  
The University of Georgia, MAcc 2013  
Business Background: Tax Associate, KPMG, 2013-2015  
Analyst, Capstone Investment Advisors, 2015

**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**

None

**Item 5 - Additional Compensation**

None

**Item 6 - Supervision**

Mr. Raphael is a Senior Analyst, and he serves on the Solaris Investment Committee and is supervised by Ralph D. Sinsheimer, Founding Partner and Managing Director of Solaris Advisors, LLC.