

Caldwell Advisors LLC  
5210 Maryland Way, Suite 202  
Brentwood TN, 37207

Alan Arthur Costa  
The Harpeth Financial Group  
50 Fox Vale Lane, Suite A  
Nashville, TN 37221  
February 28, 2019

This Brochure Supplement provides information about Alan Arthur Costa that supplements the Caldwell Advisors Brochure. You should have received a copy of that Brochure. Please contact Caldwell Advisors, LLC, Natasha L. Smith, 5210 Maryland Way, Suite 202, Brentwood, TN 37027 or call 615-370-8988 if you did not receive Caldwell Advisor, LLC's Brochure or if you have any questions about the contents of this supplement.

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

The information in this Brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority. Caldwell Advisors, LLC is a Registered Investment Advisor. Registration of an Investment Advisor does not imply any level of skill or training. The oral and written communications of an Advisor provide you with information about which you would use for determining whether to hire or retain an Advisor.

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

Alan Arthur Costa,

Year of Birth, 1945,

Attended University of Virginia; Graduated in June 1967 with Bachelor of Science – Commerce,

Director – Prudential / Pruco Securities, 1970-1978,

Managing Director - Prudential / Pruco Securities, 1978-1999,

President – The Harpeth Financial Group, 2004-Current

Professional Designations include: Certified Divorce Financial Analyst® - CDFA™ Institute of Divorce Financial Analysts™ (2003); Chartered Financial Consultant® - ChFC® The American College (1986); Chartered Life Underwriter® - CLU® The American College (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**

Mr. Costa and The Harpeth Financial Group is associated with Caldwell Advisors, LLC, a Registered Investment Advisory Firm.

## **Item 5 – Additional Compensation**

There is no additional compensation.

## **Item 6 – Supervision**

Alan Arthur Costa, The Harpeth Financial Group, are supervised by Billy Ray Caldwell, Jr, President of Caldwell Advisors LLC, (615)370-8988. The Harpeth Financial Group, in accordance with LPL Financial guidelines, is inspected on a wide range of compliance issues at least annually.

## **Item 7 – Requirements for State-Registered Advisers**

Alan Arthur Costa is an Investment Advisor Representative of Caldwell Advisors, LLC, a Registered Investment Advisor. There are no actions to disclose under this item.