

# **Clear Brook Advisors, Inc.**

**420 Boylston Street, 5<sup>th</sup> Floor  
Boston, MA 02116  
Phone: (617) 315-8979**

**[www.clearbrookadvisors.com](http://www.clearbrookadvisors.com)**

**H. Whitney Wagner, President, CEO  
C. Kenneth Strachan, Managing Director, CCO  
Alexander Munnell, Principal  
Colby Snyder, Analyst**

**420 Boylston Street, 5<sup>th</sup> Floor  
Boston, MA 02116  
Phone: (617) 315-8979**

**March 2019**

*This brochure supplement provides information about the qualifications and business practices of these representatives as investment adviser representatives of Clear Brook Advisors, Inc. This information is provided as a supplement to the Form ADV Part 2A which has been provided for your review. Should you have any questions about this supplement, or if you have not received the Form ADV Part 2A please contact the firm immediately.*

## Item 2: Educational Background and Business Experience

**Name, Title:** H. Whitney Wagner, President, CEO, (born 1956)

**Education:** University of Vermont, BA Political Science, 1978

**Licenses:** Series 65

### Business Background

2001 - present, Clear Brook Advisors, Inc. President & CEO

2000 - 2001, Quilvest, S.A., Advisor

1983 - 1999, Three Cities Research, Inc., Managing Director

1978 - 1983, Chemical Bank, Corporate Lending Officer

## Item 3: Disciplinary Information

There are no legal or disciplinary matters that would be material to a client's or prospective client's evaluation of Mr. Wagner.

## Items 4 & 5: Other Business Activity & Additional Compensation

H. Whitney Wagner serves as one of the Trustees for Brown Brothers Harriman Mutual Fund Group and receives compensation for his service on the Board of Brown Brothers Harriman Mutual Funds. Although Mr. Wagner is compensated for these activities, his service as a trustee accounts for less than 10% of his time and income.

## Item 6: Supervision

H. Whitney Wagner is Chief Executive Officer and has ultimate responsibility for the management of Clear Brook Advisors. Mr. Wagner remains responsible for the supervision of each employee of the firm. This supervision extends to reviewing their business practices and monitoring the advice given to clients. Questions related to the activities of any employee may be directed to Mr. Wagner at the phone number listed on the cover of this brochure supplement.

## Item 7: Requirements for State-Registered Advisors

A. In addition to the events listed in Item 3 of Part 2B, if the *supervised person* has been *involved* in one of the events listed below, disclose all material facts regarding the event.

**(There is no involvement by any management person in any of the events listed in Item 1 or Item 2.)**

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. If the *supervised person* has been the subject of a bankruptcy petition, disclose that fact, the date the petition was first brought, and the current status.

**(There is no involvement by any management person in any of the events listed in Item B.)**

## Item 2: Educational Background and Business Experience

**Name, Title:** C. Kenneth Strachan, Managing Director, CCO (born 1972)

**Education:** University of Virginia School of Law, Juris Doctor, 2000  
Georgetown University, BS Foreign Service, 1995

**Licenses:** Series 65

### Business Background

2018 - Present, Clear Brook Advisors, Inc., Managing Director, CCO

2014 - 2017, Freeaire, Managing Director and Legal Counsel

2008 - 2014, Next Generation Vending, General Counsel and Secretary

2004 - 2008, Municipal Benchmarking, LLC, President and General Manager

## Item 3: Disciplinary Information

There are no legal or disciplinary matters that would be material to a client's or prospective client's evaluation of Mr. Strachan.

## Items 4 & 5: Other Business Activity & Additional Compensation

C. Kenneth Strachan serves as Manager of Rio Fuerte Enterprises, LP, a "family investment company". Mr. Strachan receives a token stipend for these activities; this compensation accounts for less than 5% of his time and income

C. Kenneth Strachan serves as one of the Board Members and is Secretary for the Strachan Foundation and receives no compensation for his service.

## Item 6: Supervision

H. Whitney Wagner remains responsible for the supervision of each employee of the firm. This supervision extends to reviewing their business practices and monitoring the advice given to clients. Questions related to the activities of any employee may be directed to Mr. Wagner at the phone number listed on the cover of this brochure supplement.

## Item 7: Requirements for State-Registered Advisors

A. In addition to the events listed in Item 3 of Part 2B, if the *supervised person* has been *involved* in one of the events listed below, disclose all material facts regarding the event.

**(There is no involvement by any management person in any of the events listed in Item 1 or Item 2.)**

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. If the *supervised person* has been the subject of a bankruptcy petition, disclose that fact, the date the petition was first brought, and the current status.

**(There is no involvement by any management person in any of the events listed in Item B.)**

<b>Item 2: Educational Background and Business Experience</b>
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**Name, Title:** Alexander A. Munnell, Principal (born 1983)

**Education:** Vanderbilt University, BS, Engineering Science, 2006  
Harvard University – MBA, Finance, 2017

**License:** Series 65

**Business Background**

2013 to present, Clear Brook Advisors, Inc.

2011 - 2013, Ryse, Inc., risk management consulting business

2010 - 2011, Student – Boston University

2007 - 2009, Downer & Company, international boutique investment bank

<b>Item 3: Disciplinary Information</b>
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There are no legal or disciplinary matters that would be material to a client's or prospective client's evaluation of Mr. Munnell.

<b>Items 4 &amp; 5: Other Business Activity &amp; Additional Compensation</b>
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Mr. Munnell does not engage in any other investment-related business activity or receive additional compensation outside of his role at Clear Brook Advisors.

<b>Item 6: Supervision</b>
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H. Whitney Wagner remains responsible for the supervision of each employee of the firm. This supervision extends to reviewing their business practices and monitoring the advice given to clients. Questions related to the activities of any employee may be directed to Mr. Wagner at the phone number listed on the cover of this brochure supplement.

<b>Item 7: Requirements for State-Registered Advisors</b>
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A. In addition to the events listed in Item 3 of Part 2B, if the *supervised person* has been *involved* in one of the events listed below, disclose all material facts regarding the event.

**(There is no involvement by any management person in any of the events listed in Item 1 or Item 2.)**

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. If the *supervised person* has been the subject of a bankruptcy petition, disclose that fact, the date the petition was first brought, and the current status.

**(There is no involvement by any management person in any of the events listed in Item B.)**

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

**Name, Title:** Colby Snyder, Analyst (born 1996)

**Education:** University of Vermont, BS, Business Administration, 2018

### **Business Background**

2018 to Present, Clear Brook Advisors, Inc.

2017 - Summer Analyst, Stone Harbor Investment Partners, New York, NY

2016 - Intern, Hannon Armstrong Sustainable Infrastructure Capital, Annapolis, MD

## **Item 3: Disciplinary Information**

There are no legal or disciplinary matters that would be material to a client's or prospective client's evaluation of Ms. Snyder.

## **Items 4 & 5: Other Business Activity & Additional Compensation**

Ms. Snyder does not engage in any other investment-related business activity or receive additional compensation outside of his role at Clear Brook Advisors.

## **Item 6: Supervision**

H. Whitney Wagner remains responsible for the supervision of each employee of the firm. This supervision extends to reviewing their business practices and monitoring the advice given to clients. Questions related to the activities of any employee may be directed to Mr. Wagner at the phone number listed on the cover of this brochure supplement.

## **Item 7: Requirements for State-Registered Advisors**

A. In addition to the events listed in Item 3 of Part 2B, if the *supervised person* has been *involved* in one of the events listed below, disclose all material facts regarding the event.

**(There is no involvement by any management person in any of the events listed in Item 1 or Item 2.)**

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. If the *supervised person* has been the subject of a bankruptcy petition, disclose that fact, the date the petition was first brought, and the current status.

**(There is no involvement by any management person in any of the events listed in Item B.)**