

Brochure Supplement

**John M. Finigan, Jr.**

Finigan Financial Services, LLC  
8381 Old Courthouse Road, Suite 211  
Vienna, VA 22182  
P: 703-790-5999  
[www.finigan.net](http://www.finigan.net)

February 27, 2012

This brochure appends information about John M. Finigan, Jr. that supplements the Finigan Financial Services, LLC brochure. You should have received a copy of that brochure. Please contact John Finigan at 703-790-5999 if you did not receive the Finigan Financial Services, LLC brochure or if you have any questions about the contents of this supplement.

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

## **John M. Finigan, Jr.**

**Year of Birth:** 1949

### **Educational Background:**

<b>Name of School</b>	<b>Years Attended</b>	<b>Year Graduated</b>	<b>Degree</b>	<b>Major</b>
Florida Institute of Technology	1980 – 1982	1982	MBA	Business
Seattle University	1968-1972	1972	BA	Finance

### **Business Experience:**

<b>Name of Employer</b>	<b>Type of Business</b>	<b>Title</b>	<b>Period of Employment</b>
Finigan Financial Services, LLC	Advisory and Financial Planning	Managing Member, Chief Compliance Officer, Advisory Representative	03/2002 to Present
Royal Alliance Associates, Inc.	Broker/Dealer	Registered Representative	11/1999 to Present
Edward Jones	Broker/Dealer	Registered Representative	10/1994 to 10/1999

### **Disciplinary Information:**

John Finigan is not subject to legal or disciplinary events that are material to a client or prospective client's evaluation of him or the services offered by him.

### **Other Business Activities:**

John Finigan is dually registered as an Investment Advisory Representative of Finigan Financial Services, LLC ("FFS") and as a Registered Representative of Royal Alliance Associates Inc. ("Royal"), a registered broker/dealer, member of FINRA/SIPC. Clients are under no obligation to purchase or sell securities through John Finigan. Royal and FFS are not affiliated. John is an independent contractor of Royal.

John may recommend clients implement recommendations through services provided by Royal. If a client implements investment recommendations through Royal on a non-fee basis, John will receive a commission. Additionally, as further disclosed in the Disclosure Brochure under the section entitled Client Referrals and Other Compensation, John may receive trail compensation for investments directed through Royal. Therefore, there is a potential conflict of interest should a client elect to direct certain securities business through Royal.

As a Registered Representative of Royal, John is subject to oversight by Royal over all his securities activities and certain outside business activities. Such oversight includes review of John's securities business to ensure he considers his client's best interests.

Additionally, John is a licensed insurance agent. You are not obligated to purchase insurance or securities products through John. However, if you implement insurance recommendations through him, he will receive commissions. The insurance business is a minority of his business and the amount of income he receives from insurance business fluctuates depending on the amount of sales. This business is disclosed because of the conflict of interest involved with the receipt of compensation. You are advised there may be other insurance products and services available through other insurance professionals at a lower cost than those products available through John.

It is important that clients refer to the disclosures under Brokerage Practices in the Disclosure Brochure.

### **Additional Compensation:**

You are advised that the amount of commissions paid by Royal to John can fluctuate based on his overall production. Therefore, the more business placed by John through Royal can enable John to reach another threshold, thus earning a higher payout.

John Finigan does not receive any economic benefit (i.e. sales awards and other prizes) for providing advisory services from a non-client.

### **Supervision:**

Supervision and oversight of the activities conducted through FFS is conducted by John Finigan, President and Chief Compliance Officer of FFS. He can be contacted at (703) 790-5999. John reviews all transactions conducted in clients' accounts. Additionally, all account information required to establish an account for a client must flow through John. John has procedures in place to be aware of any outside business activities engaged in by FFS supervised persons, oversee communications with the public, and review personal trading activities of supervised persons as well as in any account over which they have direct or indirect beneficial interest.

As stated in the Disclosure Brochure and as indicated above, Royal also oversees the securities business of John.

Because John is a dually registered agent of Royal and FFS, Royal has certain supervisory and administrative duties pursuant of the requirements of Conduct Rule 3040. In that regard, Royal will require and furnish certain account opening documentation to be completed by the client and John. Once all such materials and forms have been completed by clients in consultation with John, John is required to submit these materials and forms to Royal for its review and approval in its capacity as John's broker/dealer. Such review does not include the provision of investment advisory services to FFS' client accounts.

### **Requirements for State-Registered Advisers:**

There are no events to report for John Finigan.

Brochure Supplement

**Lanie E Nikes, CFP®**

Finigan Financial Services, LLC  
8381 Old Courthouse Road, Suite 211  
Vienna, VA 22182  
P: 703-790-5999  
[www.finigan.net](http://www.finigan.net)

February 27, 2012

This brochure supplement provides information about Lanie E. Nikes that supplements the Finigan Financial Services, LLC brochure. You should have received a copy of that brochure. Please contact John Finigan at 703-790-5999 if you did not receive the Finigan Financial Services, LLC brochure or if you have any questions about the contents of this supplement.

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

## Lanie E. Nikes, CFP®

**Year of Birth:** 1978

### **Educational Background:**

Name of School	Years Attended	Year Graduated	Degree	Major
Georgetown University	2006	2006	Certificate	Financial Planning
Wellesley College	1996 – 2000	2000	BA	Economics

The CERTIFIED FINANCIAL PLANNER™ (CFP®) certification represents proven expertise within the financial planning profession. Those with the CFP® designation have demonstrated competency in all areas of finance related to financial planning. Candidates for the CFP® designation must pass a certification exam administered by the Certified Financial Planner Board of Standards Inc. that focuses on over 100 topics of concern to the financial planning field, such as retirement, estate, and investment planning. In addition to passing the CFP® certification exam, candidates must also complete qualifying work experience (three years full-time or equivalent part-time experience in the financial planning field) and agree to adhere to the CFP Board's code of ethics and professional responsibility and financial planning standards. In addition, CFP® must complete 30 hours of continuing education every two years.

### **Business Experience:**

Name of Employer	Type of Business	Title	Period of Employment
Finigan Financial Services, LLC	Advisory and Financial Planning	Advisory Representative	10/2005 to Present
Royal Alliance Associates, Inc.	Broker/Dealer	Registered Representative	04/2005 to Present
Finigan Financial Services, LLC	Advisory and Financial Planning	Para-Planner & Executive Assistant	10/2003 to 10/2005

### **Disciplinary Information:**

Lanie Nikes is not subject to legal or disciplinary events that are material to a client or prospective client's evaluation of her or the services offered by her.

### **Other Business Activities:**

Lanie Nikes is dually registered as an Investment Advisory Representative of Finigan Financial Services, LLC ("FFS") and as a Registered Representative of Royal Alliance Associates Inc. ("Royal"), a registered broker/dealer, member of the Financial Industry Regulatory Association (FINRA) and SIPC. Clients are under no obligation to purchase or sell securities through Lanie Nikes. Royal and FFS are not affiliated. Lanie is an independent contractor of Royal.

Lanie may recommend clients implement recommendations through Royal. If a client implements investment recommendations through Royal on a non-fee basis, Lanie will receive a commission. Additionally, as further disclosed in the Disclosure Brochure under the section entitled Client Referrals

and Other Compensation, Lanie may receive trail compensation for investments directed through Royal. Therefore, there is a potential conflict of interest should client direct certain securities business through Royal.

As a Registered Representative of Royal, Lanie is subject to oversight by Royal over all her securities activities and certain outside business activities. Such oversight includes review of Lanie's securities business to ensure she considers her client's best interests.

Additionally, Lanie is a licensed insurance agent. You are not obligated to purchase insurance or securities products through Lanie. However, if you implement insurance recommendations through her, she will receive commissions. The insurance business is a minority of her business and the amount of income she receives from insurance business fluctuates depending on the amount of sales. This business is disclosed because of the conflict of interest involved with the receipt of compensation. You are advised there may be other insurance products and services available through other insurance professionals at a lower cost than those products available through Lanie.

It is important that you refer to the disclosures under Brokerage Practices in the Disclosure Brochure.

### **Additional Compensation:**

You are advised the amount of commissions paid by Royal to Lanie can fluctuate based on her overall production. Therefore, the more business placed by Lanie through Royal can enable Lanie to reach another threshold, thus earning a higher payout.

Lanie Nikes does not receive any economic benefit (i.e. sales awards and other prizes) for providing advisory services from a non-client.

### **Supervision:**

Supervision and oversight of the activities conducted through FFS is conducted by John Finigan, President and Chief Compliance Officer of FFS. John Finigan can be contacted at (703) 790-5999. John Finigan reviews all transactions conducted in clients' accounts. Additionally, all account information required to establish an account for a client must flow through John Finigan. John Finigan has procedures in place to be aware of any outside business activities engaged in by Lanie, oversee communications with the public, and review personal trading activities of Lanie as well as in any account over which Lanie has direct or indirect beneficial interest.

As stated in the Disclosure Brochure and as indicated above, Royal will oversee the securities business of Lanie.

Because Lanie is a dually registered agent of Royal and FFS, Royal has certain supervisory and administrative duties pursuant of the requirements of Conduct Rule 3040. In that regard, Royal will require and furnish certain account opening documentation to be completed by the client and Lanie. Once all such materials and forms have been completed by clients in consultation with Lanie, Lanie is required to submit these materials and forms to Royal for its review and approval, in its capacity as Lanie's broker/dealer. Such review does not include the provision of investment advisory services to the FFS' client accounts.

**Requirements for State-Registered Advisers:**

There are no events to report for Lanie Nikes.

## Brochure Supplement

### **Gregory Norris**

Finigan Financial Services, LLC  
8381 Old Courthouse Road, Suite 211  
Vienna, VA 22182  
P: 703-790-5999  
[www.finigan.net](http://www.finigan.net)

February 27, 2012

This brochure supplement provides information about Gregory Norris that supplements the Finigan Financial Services, LLC brochure. You should have received a copy of that brochure. Please contact John Finigan if you did not receive the Finigan Financial Services, LLC brochure or if you have any questions about the contents of this supplement.

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



## **Gregory Norris**

**Year of Birth:** 1974

**Educational Background:**

<b>Name of School</b>	<b>Years Attended</b>	<b>Year Graduated</b>	<b>Degree</b>	<b>Major</b>
George Mason University	2007-2009	2009	BS	Finance Magna Cum Laude

**Business Background:**

<b>Name of Employer</b>	<b>Type of Business</b>	<b>Title</b>	<b>Period of Employment</b>
Finigan Financial Services, LLC	Advisory and Financial Planning	Advisory Representative	03/2011 to Present
Royal Alliance Associates, Inc.	Broker/Dealer	Registered Representative	03/2011 to Present
Finigan Financial Services	Advisory and Financial Planning	Para-Planner & Client Services	03/2010 to 3/2011

**Disciplinary Information:**

Gregory Norris is not subject to legal or disciplinary events that are material to a client or prospective client's evaluation of him or the services offered by him.

**Other Business Activities:**

Gregory Norris is dually registered as an Investment Advisory Representative of Finigan Financial Services, LLC ("FFS") and as a Registered Representative of Royal Alliance Associates Inc. ("Royal"), a registered broker/dealer, member of the Financial Industry Regulatory Association (FINRA) and SIPC. Clients are under no obligation to purchase or sell securities through Gregory Norris. Royal and FFS are not affiliated. Gregory is an independent contractor of Royal.

Gregory may recommend clients implement recommendations through Royal. If a client implements investment recommendations through Royal on a non-fee basis, Gregory will receive a commission. Additionally, as further disclosed in the Disclosure Brochure under the section entitled Client Referrals and Other Compensation, Gregory may receive trail compensation for investments directed through Royal. Therefore, there is a potential conflict of interest to cause a client to direct certain securities business through Royal.

As a Registered Representative of Royal, Gregory is subject to oversight by Royal over all his securities activities and certain outside business activities. Such oversight includes review of Gregory's securities business to ensure he considers his client's best interests.

Additionally, Gregory endeavors to become a licensed insurance agent. You are not obligated to purchase insurance or securities products through Gregory. However, if you implement insurance

recommendations through him, he will receive commissions. The insurance business is a minority of his business and the amount of income he receives from insurance business fluctuates depending on the amount of sales. However, this business is disclosed because of the conflict of interest involved with the receipt of compensation. You are advised there may be other insurance products and services available through other insurance professionals at a lower cost than those products available through Gregory.

It is important clients that refer to the disclosures under Brokerage Practices in the Disclosure Brochure.

### **Additional Compensation:**

You are advised the amount of commissions paid by Royal to Gregory can fluctuate based on his overall production. Therefore, the more business placed by Gregory through Royal can enable Gregory to reach another threshold, thus earning a higher payout.

Gregory Norris does not receive any economic benefit (i.e. sales awards and other prizes) for providing advisory services from a non-client.

### **Supervision:**

Supervision and oversight of the activities conducted through FFS is conducted by John Finigan, President and Chief Compliance Officer of FFS. He can be contacted at (703) 790-5999. John reviews all transactions conducted in clients' accounts. Additionally, all account information required to establish an account for a client must flow through John. John has procedures in place to be aware of any outside business activities engaged in by FFS supervised persons, oversee communications with the public, and review personal trading activities of supervised persons as well as in any account over which they have direct or indirect beneficial interest.

As stated in the Disclosure Brochure and as indicated above, Royal also oversees the securities business of Gregory.

Because Gregory is a dually registered agent of Royal and FFS, Royal has certain supervisory and administrative duties pursuant of the requirements of Conduct Rule 3040. In that regard, Royal will require and furnish certain account opening documentation to be completed by the client and Gregory. Once all such materials and forms have been completed by clients in consultation with Gregory, Gregory is required to submit these materials and forms to Royal for its review and approval in its capacity as Gregory's Broker/Dealer. Such review does not include the provision of investment advisory services to the FFS' client accounts.

### **Requirements for State-Registered Advisers:**

There are no events to report for Gregory Norris.