

# THE SHERRY GROUP INC.

Daniel Frost  
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**Item 1.** This brochure supplement provides information about Daniel Frost, Solicitor for The Sherry Group, Inc. This brochure is meant to supplement The Sherry Group, Inc. firm brochure, a copy of which you should have received. Please contact Tom Czanstkowski, Chief Compliance Officer, at 870-425-8252, if you did not receive The Sherry Group, Inc. brochure or if you have any questions about the contents of this supplement.

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

## **Item 2. Educational and Business Experience**

### **Daniel Frost**

Daniel Frost (Dan) serves as a Solicitor for The Sherry Group Inc. ("TSGI"). He does not render investment advice on behalf of the firm; however, he refers clients to investment advisory representatives associated with TSGI and for this activity, he is compensated. Dan was born in 1953 and is a 1975 graduate of Northern Illinois University, where he earned a Bachelor of Science degree in Marketing. Dan has been affiliated with TSGI since 2008 and he has been a registered representative of Transamerica Financial Advisors, Inc. ("TFA"), since 2002. TFA is an unaffiliated registered broker/dealer, member FINRA. Dan's primary business since 1985, is that of owner and operator of The Frost Group, Inc., a full service insurance agency. The Frost Group, Inc. is not affiliated with TSGI.

## **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. There is no disciplinary information to report for Dan Frost.

## **Item 4. Other Business Activities**

Dan Frost's primary business activity is that of owner and operator of The Frost Group, Inc., as discussed above. He spends the vast majority of his time in this role. As an insurance agent, Dan is licensed to sell various insurance products for which he may receive product commissions.

As discussed previously in Item 2 above, Dan is also a registered representative of Transamerica Financial Advisors, Inc. (TFA), an unaffiliated registered broker/dealer and FINRA member. In this capacity, Dan may affect securities transactions for clients for which he may receive separate, yet customary compensation.

## **Item 5. Additional Compensation**

As discussed in Item 4 above, Dan's primary business activity is that of owner and operator of The Frost Group, Inc. Dan derives compensation from his activities associated with that firm. Dan is also a registered representative of TFA. In this capacity, Dan may receive commissions for securities product sales. In addition, Dan is licensed as an insurance agent and he may receive normal and customary insurance product commissions from the sale of insurance products. This compensation is outside of the normal compensation earned under an Investment Advisory Agreement.

Dan does not render investment advice on behalf of TSGI; however, he refers clients to TSGI associates and he is compensated for those referrals under a Solicitor's Agreement. Clients should be aware that the receipt of this compensation creates a conflict of interest in that Dan has an incentive to recommend the advisory services and products offered by TSGI. To address the potential for a conflict of interest, clients are provided with a Solicitor's Disclosure Statement, which describes the compensation earned by Dan for his referral. Clients are under no obligation to engage TSGI for any of its advisory services and the decision to enter into an advisory agreement with TSGI is solely theirs.

## **Item 6. Supervision**

The Sherry Group, Inc. has appointed a Chief Compliance Officer who is responsible for the overall supervision of the firm. The Chief Compliance Officer is Tom Czanstkowski. Tom implements a specific set of Written Supervisory Procedures that he has developed for the supervision of the firm. He maintains required books and records to monitor the investment advice and recommendations made on behalf of the firm. TSGI has a specific Code of Ethics that applies to all employees. Tom implements procedures to ensure employees comply with the firm's Code of Ethics, and he monitors all reports provided pursuant to the Code. Tom is located in the TSGI main office in Mountain Home, Arkansas. Tom can be reached at 870-425-8252 or sherrygp@mountainhome.com.

## **Item 7. Information for State-Registered Advisers**

State-registered investment advisers are required to disclose certain information that pertains to supervised persons related to the firm. Dan Frost does not have any disclosure information to report for this item. Specifically, Dan Frost has not been subject to an award or otherwise been found liable in an arbitration claim alleging damages in excess of \$2,500, involving an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or, dishonest, unfair, or unethical practices. Mr. Frost has also not been subject to an award or otherwise been found liable in a civil,

self-regulatory organization, or administrative proceeding involving any of above noted items. Finally, Mr. Frost has not been the subject of a bankruptcy petition.