

*This brochure supplement provides information about Nicholas Sloane that supplements the Wealth Financial Advisory Services, LLC brochure (Form ADV 2A). You should have received a copy of that brochure. Please contact Mr. Sloane if you did not receive Wealth Financial Advisory Services, LLC's brochure or if you have any questions about the contents of this supplement.*

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



*A Registered Investment Adviser*

## **Form ADV Part 2B – Individual Disclosure Brochure**

*for*

**Nicholas Sloane**

Personal CRD Number: 1325510

Investment Adviser Representative

Wealth Financial Advisory Services, LLC  
27475 Ferry Road  
Warrenville, Illinois 60555  
630-529-0199  
[nrsloane@wfadvisory.com](mailto:nrsloane@wfadvisory.com)

UPDATED: 09/29/2015

## Item 2: Educational Background and Business Experience

**Name:** Nicholas R. Sloane

**Born:** 1952

### **Education Background and Professional Designations:**

#### **Education:**

Nicholas Sloane has 2 years of college – Grinnell College but has no degree.

#### **Designation:**

#### **ChFC®- Chartered Financial Consultant®**

##### **ChFC® MINIMUM QUALIFICATIONS:**

- Bachelor's degree or its equivalent, in any discipline, from an accredited university, this qualifies as one year of business experience
- Three years of full-time business experience is required; this three-year period must be within the five years preceding the date of the award (part-time qualifying business experience is also credited toward the three-year requirement with 2,000 hours representing the equivalent of one year full-time experience).
- Must fulfill the ChFC® seven course curriculum, as well as two additional elective courses
- Pass the exams for all required and elective courses
- Pass a background check and candidate fitness standards test. You must reveal any criminal history, pending litigation or ethical violations. The CFP board verifies all employment history, qualifications and disciplinary issues via FINRA's Central Registration Depository.

#### **CRC – Certified Retirement Counselor**

##### **CRC Minimum Qualifications:**

The Certified Retirement Counselor designation is awarded upon completion of a comprehensive program consisting of:

- Retirement planning,
- Design, management and operations,
- Investment management,
- Compliance and ethics.
- The CRC candidate must also pass four examinations to demonstrate mastery of the subject matter.
- The CRC designation also requires a bachelor's degree in any field, a minimum of two (2) years professional experience and two professional references or completion of a high school diploma, or its equivalent, and five (5) years relevant retirement related professional experience (within the past seven years)
- Finally the designation requires the successful completion of a comprehensive, four -hour, 200 - question proctored exam.

## Business Background:

10/2012 – Present	Investment Adviser Representative Wealth Financial Advisory Services, LLC
2004 – Present	President Nicholas R. Sloane, Inc. (dba Sloane Financial Services)
2009 – 10/2012	Managing Member Sloane Wealth Management, LLC
1983 – 2004	Independent Insurance Agent / Financial Consultant Self-Employed

## Item 3: Disciplinary Information

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

## Item 4: Other Business Activities

Nicholas R. Sloane is a licensed insurance agent, and the President of Sloane Financial Services, a company that markets insurance products and services. From time to time, he will offer clients advice or products from those activities. Clients should be aware that these services pay a commission and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment adviser. Wealth Financial Advisory Services, LLC always acts in the best interest of the client; including the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any representative of Wealth Financial Advisory Services, LLC in such individual's capacity as an insurance agent.

## Item 5: Additional Compensation

Other than investment advisory fees, Nicholas Sloane does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through Wealth Financial Advisory Services, LLC.

## Item 6: Supervision

As a representative of Wealth Financial Advisory Services, LLC, Nicholas Sloane works closely with the supervisor, Gabriel Lewit and COO/CCO, Steven Thomas who review all documents provided to clients prior to implementation. Gabriel Lewit can be contacted at (847) 499-3331 and Steven Thomas can be reached at (847) 499-3777. Gabriel Lewit, Steven Thomas, and Mr. Sloane adhere to all required regulations regarding the activities of an Investment Adviser Representative and follows all policies and procedures outlined in the firm's policies and procedures manual, including the Code of Ethics, and appropriate securities regulatory requirements.