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## **BROCHURE SUPPLEMENT**

Andy Warning

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Ross, Sinclair & Associates, LLC  
700 Walnut Street, Suite 600  
Cincinnati, OH 45202  
(513) 381-3939  
[www.rsanet.com](http://www.rsanet.com)

### **Purpose of the Brochure Supplement:**

This *BROCHURE SUPPLEMENT* provides information about Andy Warning that supplements the Ross, Sinclair and Associates, LLC *FIRM BROCHURE* document. You should have received a copy of that *FIRM BROCHURE*. Please contact Ross, Sinclair & Associates, LLC if you did not receive Ross, Sinclair & Associates, LLC's *FIRM BROCHURE*, or if you have any questions about the contents of this *BROCHURE SUPPLEMENT*.

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

### **Note:**

While Ross, Sinclair & Associates, LLC may refer to itself as a "registered investment advisor" or "RIA", clients should be aware that registration with the SEC does not imply a certain level of skill or training.

## **Education, Business, and Disciplinary Information**

Andy S. Warning

Date of Birth 10/10/1971

Chief Compliance Officer of Ross, Sinclair & Associates, LLC

### *Education*

B.A. in Organizational Leadership, Minor in Communications, Northern Kentucky University

### *Business Background*

Ross, Sinclair & Associates, LLC (2013 – Present) – Chief Compliance Officer

Merrill Lynch (2012-2013) – Vice President Administrative Manager

Securities America, Inc. (2009-2012) – Regional Sales Supervision Principal

Breck and Young Advisors (2007-2009) – Risk and Audit Manager

\*Purchased by Securities America, Inc. 10/2008

Western Southern Life-IFS (2005-2007) - Field Compliance Manager

### *Disciplinary Actions*

Mr. Warning has not been involved in any legal or disciplinary event that would be material nor immaterial to a client's or prospective client's evaluation of the firm or integrity of Ross, Sinclair & Associates, LLC management or Registered Representative.

## **Other Business Activities and Additional Compensation**

Andy Warning has no investment related outside business activities.

Andy Warning has no non-investment related outside business activities.

## **Supervision**

As Chief Operating Officer of Ross Sinclair & Associates, LLC, Fred Overbeck is primarily responsible for supervision of Andy Warning. Advisory clients may contact Mr. Overbeck at (513) 381-3939.

## **REQUIREMENTS FOR STATE-REGISTERED ADVISERS**

Ross, Sinclair & Associates, LLC would be required to disclose additional information for Mr. Warning if he has ever been the subject of a bankruptcy petition or ever been found liable in either: (a) an arbitration; or (b) a civil, self-regulatory organization, or administrative

proceeding. As none of these apply to Mr. Warning, there is no information to disclose in this regard.

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## **BROCHURE SUPPLEMENT**

Thomas Williams

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Ross, Sinclaire & Associates, LLC  
700 Walnut Street, Suite 600  
Cincinnati, OH 45202  
(513) 381-3939  
[www.rsanet.com](http://www.rsanet.com)

### **Purpose of the Brochure Supplement:**

This *BROCHURE SUPPLEMENT* provides information about Thomas Williams that supplements the Ross, Sinclaire and Associates, LLC *FIRM BROCHURE* document. You should have received a copy of that *FIRM BROCHURE*. Please contact Ross, Sinclaire & Associates, LLC if you did not receive Ross, Sinclaire & Associates, LLC's *FIRM BROCHURE*, or if you have any questions about the contents of this *BROCHURE SUPPLEMENT*.

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

### **Note:**

While Ross, Sinclaire & Associates, LLC may refer to itself as a "registered investment advisor" or "RIA", clients should be aware that registration with the SEC does not imply a certain level of skill or training.

## **Education, Business, and Disciplinary Information**

Thomas R. Williams, Sr.

Date of Birth 07/04/1956

Director of RSA Asset Management of Ross, Sinclaire & Associates, LLC

### *Education*

M.A. in International Management, Thunderbird School of Global Management, 1980

B.A. in Economics, Wittenberg University, 1978

### *Business Background*

Ross, Sinclair & Associates, LLC (2010 – Present) – Director of RSA Asset Management

SBioMed LLC (2006 – 2010) – Chief Operating Officer

Fifth Third Bank (1992 – 2005) – Vice President / Product Manager Investment Advisory Division, President of Fifth Third Securities, Managing Director Corporate Finance

Wells Fargo Bank (1988 – 1992) – Portfolio manager

Security Pacific National Bank (1983 – 1988) – Vice President Merchant Banking Group

### *Disciplinary Actions*

Mr. Williams has not been involved in any legal or disciplinary event that would be material nor immaterial to a client's or prospective client's evaluation of the firm or integrity of Ross, Sinclair & Associates, LLC management or Registered Representative.

## **Other Business Activities and Additional Compensation**

Thomas Williams has no investment related outside business activities.

Thomas Williams is an unpaid board member for sBioMed, LLC.

Thomas Williams is on the board of United Cerebral Palsy of Greater Cincinnati.

Thomas Williams is on the board of The Convalescent Hospital for Children.

Thomas Williams is a licensed securities broker and may earn compensation through commissions on an agency or principal basis on securities traded through Ross Sinclair & Associates, LLC.

## **Supervision**

As Managing Director of Ross Sinclair & Associates, LLC, Nelson Taul is primarily responsible for supervision of Thomas Williams. Advisory clients may contact Mr. Taul at (513) 381-3939.

## **REQUIREMENTS FOR STATE-REGISTERED ADVISERS**

Ross, Sinclair & Associates, LLC would be required to disclose additional information for Mr. Williams if he has ever been the subject of a bankruptcy petition or ever been found liable in either: (a) an arbitration; or (b) a civil, self-regulatory organization, or administrative proceeding. As none of these apply to Mr. Williams, there is no information to disclose in this regard.

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## **BROCHURE SUPPLEMENT**

Justin Hennessy

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Ross, Sinclaire & Associates, LLC  
700 Walnut Street, Suite 600  
Cincinnati, OH 45202  
(513) 381-3939  
[www.rsanet.com](http://www.rsanet.com)

### **Purpose of the Brochure Supplement:**

This *BROCHURE SUPPLEMENT* provides information about Justin Hennessy that supplements the Ross, Sinclaire and Associates, LLC *FIRM BROCHURE* document. You should have received a copy of that *FIRM BROCHURE*. Please contact Ross, Sinclaire & Associates, LLC if you did not receive Ross, Sinclaire & Associates, LLC's *FIRM BROCHURE*, or if you have any questions about the contents of this *BROCHURE SUPPLEMENT*.

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

### **Note:**

While Ross, Sinclaire & Associates, LLC may refer to itself as a "registered investment advisor" or "RIA", clients should be aware that registration with the SEC does not imply a certain level of skill or training.

## **Education, Business, and Disciplinary Information**

Justin D. Hennessy

Date of Birth 08/30/1954

Director of Portfolio Management, RSA Asset Management of Ross, Sinclaire & Associates, LLC

### *Education*

2 Years Northeastern University, Boston, MA

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1 Year Boston College, Chestnut Hill, MA

*Business Background*

Ross, Sinclair & Associates, LLC (2011 – present) – Director of Portfolio Management

Northern Capital Securities Corp (2009 – 2011) – Managing Director / Fixed Income Trader and Municipal Portfolio Manager

Strategic Partners Investment Advisors (2000 – 2009) – Managing Director / Head of Portfolio Management

Ambac Financial Group (1992 – 2000) – Managing Director / Director of Fixed Income Investments

CIGNA Investment Management Co. (1986 – 1992) – Senior Vice President / Municipal Bond Portfolio Manager

Bank of Boston (1973 – 1986) – Investment Officer / Municipal Fixed Income Trader

*Disciplinary Actions*

Mr. Hennessy has not been involved in any legal or disciplinary event that would be material nor immaterial to a client's or prospective client's evaluation of the firm or integrity of Ross, Sinclair & Associates, LLC management or Registered Representative.

## **Other Business Activities and Additional Compensation**

Justin Hennessy is President of PTS Analytics

Justin Hennessy has no non-investment related outside business activities.

Justin Hennessy is a licensed securities broker and may earn compensation through commissions on an agency or principal basis on securities traded through Ross Sinclair & Associates, LLC.



## **Supervision**

As Managing Director of Ross Sinclair & Associates, LLC, nelson Taul is primarily responsible for supervision of Justin Hennessy. Advisory clients may contact Mr. Taul at (513) 381-3939.

## **REQUIREMENTS FOR STATE-REGISTERED ADVISERS**

Ross, Sinclair & Associates, LLC would be required to disclose additional information for Mr. Hennessy if he has ever been the subject of a bankruptcy petition or ever been found liable in either: (a) an arbitration; or (b) a civil, self-regulatory organization, or administrative proceeding. As none of these apply to Mr. Hennessy, there is no information to disclose in this regard.

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## **BROCHURE SUPPLEMENT**

Peter P. Baden, CFA

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Ross, Sinclaire & Associates, LLC  
700 Walnut Street, Suite 600  
Cincinnati, OH 45202  
(513) 381-3939  
[www.rsanet.com](http://www.rsanet.com)

### **Purpose of the Brochure Supplement:**

This *BROCHURE SUPPLEMENT* provides information about Peter Baden that supplements the Ross, Sinclaire and Associates, LLC *FIRM BROCHURE* document. You should have received a copy of that *FIRM BROCHURE*. Please contact Ross, Sinclaire & Associates, LLC if you did not receive Ross, Sinclaire & Associates, LLC's *FIRM BROCHURE*, or if you have any questions about the contents of this *BROCHURE SUPPLEMENT*.

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

### **Note:**

While Ross, Sinclaire & Associates, LLC may refer to itself as a "registered investment advisor" or "RIA", clients should be aware that registration with the SEC does not imply a certain level of skill or training.

## **Education, Business, and Disciplinary Information**

Peter P Baden, CFA

Date of Birth 07/15/1964

Chief Investment Officer, RSA Asset Management of Ross, Sinclaire & Associates LLC

### *Education*

B. A. in Finance/Insurance, 1986, University of Cincinnati

Chartered Financial Analyst Designation, 1997

*Business Background*

Ross, Sinclair & Associates, LLC (2003 – present) – Chief Investment Officer

Schneider Electric (Square D) (2001 – 2003) – Technology Project Leader

City of Cincinnati (1995 – 2000) – Systems Analyst

US Bank, NA (1992 – 1995) – Investment Analyst / Fund Portfolio Manager

Pacholder Associates (Now JP Morgan High Yield) (1987 – 1992) – Assistant Vice President / Cash Portfolio Manager

*Disciplinary Actions*

Mr. Baden has not been involved in any legal or disciplinary event that would be material nor immaterial to a client's or prospective client's evaluation of the firm or integrity of Ross, Sinclair & Associates, LLC management or Registered Representative.

## **Other Business Activities and Additional Compensation**

Peter Baden has no investment related outside business activities.

Peter Baden has no non-investment related outside business activities.

Peter Baden is a licensed securities broker and may earn compensation through commissions on an agency or principal basis on securities traded through Ross Sinclair & Associates, LLC.

## **Supervision**

As Managing Director of Ross Sinclair & Associates, LLC, Nelson Taul is primarily responsible for supervision of Peter Baden. Advisory clients may contact Mr. Taul at (513) 381-3939.

## **REQUIREMENTS FOR STATE-REGISTERED ADVISERS**

Ross, Sinclair & Associates, LLC would be required to disclose additional information for Mr. Baden if he has ever been the subject of a bankruptcy petition or ever been found liable in

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either: (a) an arbitration; or (b) a civil, self-regulatory organization, or administrative proceeding. As none of these apply to Mr. Baden, there is no information to disclose in this regard.

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## **BROCHURE SUPPLEMENT**

Rick B. Bell

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Ross, Sinclaire & Associates, LLC  
700 Walnut Street, Suite 600  
Cincinnati, OH 45202  
(513) 381-3939  
[www.rsanet.com](http://www.rsanet.com)

### **Purpose of the Brochure Supplement:**

This *BROCHURE SUPPLEMENT* provides information about Rick Bell that supplements the Ross, Sinclaire and Associates, LLC *FIRM BROCHURE* document. You should have received a copy of that *FIRM BROCHURE*. Please contact Ross, Sinclaire & Associates, LLC if you did not receive Ross, Sinclaire & Associates, LLC's *FIRM BROCHURE*, or if you have any questions about the contents of this *BROCHURE SUPPLEMENT*.

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

### **Note:**

While Ross, Sinclaire & Associates, LLC may refer to itself as a "registered investment advisor" or "RIA", clients should be aware that registration with the SEC does not imply a certain level of skill or training.

## **Education, Business, and Disciplinary Information**

Rick Bell

Date of Birth 04/05/1979

Portfolio Manager, RSA Asset Management of Ross, Sinclaire & Associates, LLC

### *Education*

B.S. in Business Administration/Finance, 2010, Regis University

### *Business Background*

Ross, Sinclair & Associates, LLC (2006 – present) – Portfolio Manager

### *Disciplinary Actions*

Mr. Bell has not been involved in any legal or disciplinary event that would be material nor immaterial to a client's or prospective client's evaluation of the firm or integrity of Ross, Sinclair & Associates, LLC management or Registered Representative.

## **Other Business Activities and Additional Compensation**

Rick Bell has no investment related outside business activities.

Rick Bell has no non-investment related outside business activities.

Rick Bell is a licensed securities broker and may earn compensation through commissions on an agency or principal basis on securities traded through Ross Sinclair & Associates, LLC.

## **Supervision**

As Managing Director of Ross Sinclair & Associates, LLC, Nelson Taul is primarily responsible for supervision of Rick Bell. Advisory clients may contact Mr. Taul at (513) 381-3939.

## **REQUIREMENTS FOR STATE-REGISTERED ADVISERS**

Ross, Sinclair & Associates, LLC would be required to disclose additional information for Mr. Bell if he has ever been the subject of a bankruptcy petition or ever been found liable in either: (a) an arbitration; or (b) a civil, self-regulatory organization, or administrative proceeding. As none of these apply to Mr. Bell, there is no information to disclose in this regard.

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## **BROCHURE SUPPLEMENT**

Jake Terlau

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Ross, Sinclaire & Associates, LLC  
700 Walnut Street, Suite 600  
Cincinnati, OH 45202  
(513) 381-3939  
[www.rsanet.com](http://www.rsanet.com)

### **Purpose of the Brochure Supplement:**

This *BROCHURE SUPPLEMENT* provides information about Jake Terlau that supplements the Ross, Sinclaire and Associates, LLC *FIRM BROCHURE* document. You should have received a copy of that *FIRM BROCHURE*. Please contact Ross, Sinclaire & Associates, LLC if you did not receive Ross, Sinclaire & Associates, LLC's *FIRM BROCHURE*, or if you have any questions about the contents of this *BROCHURE SUPPLEMENT*.

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

### **Note:**

While Ross, Sinclaire & Associates, LLC may refer to itself as a "registered investment advisor" or "RIA", clients should be aware that registration with the SEC does not imply a certain level of skill or training.

## **Education, Business, and Disciplinary Information**

John Jake Terlau

Date of Birth 12/14/1976

Registered Representative, RSA Asset Management of Ross, Sinclaire & Associates, LLC

### *Education*

Certified Financial Planner, 2011

MBA, New York University School of Business, 2004  
Bachelor of Science, University of Kentucky, 1999

*Business Background*

Ross, Sinclair & Associates, LLC (2008 – Present) – Brokerage Services,  
Registered Representative

*Disciplinary Actions*

Mr. Terlau has not been involved in any legal or disciplinary event that would be material nor immaterial to a client's or prospective client's evaluation of the firm or integrity of Ross, Sinclair & Associates, LLC management or Registered Representative.

## **Other Business Activities and Additional Compensation**

Jake Terlau has no investment related outside business activities.

Jake Terlau has no non-investment related outside business activities.

Jake Terlau is a licensed securities broker and may earn compensation through commissions on an agency or principal basis on securities traded through Ross Sinclair & Associates, LLC.

## **Supervision**

As Managing Director of Ross Sinclair & Associates, LLC, Nelson Taul is primarily responsible for supervision of Jake Terlau. Advisory clients may contact Mr. Taul at (513) 381-3939.

## **REQUIREMENTS FOR STATE-REGISTERED ADVISERS**

Ross, Sinclair & Associates, LLC would be required to disclose additional information for Mr. Terlau if he has ever been the subject of a bankruptcy petition or ever been found liable in either: (a) an arbitration; or (b) a civil, self-regulatory organization, or administrative proceeding. As none of these apply to Mr. Terlau, there is no information to disclose in this regard.



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## **BROCHURE SUPPLEMENT**

Bradley C Pickrell

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Ross, Sinclair & Associates, LLC  
325 West Main Street, Suite 300  
Lexington, KY 40507  
(859) 977-6600  
[www.rsanet.com](http://www.rsanet.com)

### **Purpose of the Brochure Supplement:**

This *BROCHURE SUPPLEMENT* provides information about Brad Pickrell that supplements the Ross, Sinclair and Associates, LLC *FIRM BROCHURE* document. You should have received a copy of that *FIRM BROCHURE*. Please contact Ross, Sinclair & Associates, LLC if you did not receive Ross, Sinclair & Associates, LLC's *FIRM BROCHURE*, or if you have any questions about the contents of this *BROCHURE SUPPLEMENT*.

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

### **Note:**

While Ross, Sinclair & Associates, LLC may refer to itself as a "registered investment advisor" or "RIA", clients should be aware that registration with the SEC does not imply a certain level of skill or training.

## **Education, Business, and Disciplinary Information**

Brad Pickrell

Date of Birth 01/11/1980

Registered Representative, RSA Asset Management of Ross, Sinclair & Associates, LLC

#### *Education*

BBA in Finance and Marketing, Gatton College of Business at the University of Kentucky, 2003

#### *Business Background*

Ross, Sinclair & Associates, LLC (2010 – Present) – Brokerage Services,  
Registered Representative

Merrill Lynch (2003-2010) – Financial Advisor

#### *Disciplinary Actions*

Mr. Pickrell has not been involved in any legal or disciplinary event that would be material nor immaterial to a client's or prospective client's evaluation of the firm or integrity of Ross, Sinclair & Associates, LLC management or Registered Representative.

## **Other Business Activities and Additional Compensation**

Brad Pickrell has no investment related outside business activities.

Brad Pickrell has no non-investment related outside business activities.

Brad Pickrell is a licensed securities broker and may earn compensation through commissions on an agency or principal basis on securities traded through Ross Sinclair & Associates, LLC.

## **Supervision**

As Managing Director of Ross Sinclair & Associates, LLC, Nelson Taul is primarily responsible for supervision of Bradley Pickrell. Advisory clients may contact Mr. Taul at (513) 381-3939.

## **REQUIREMENTS FOR STATE-REGISTERED ADVISERS**

Ross, Sinclair & Associates, LLC would be required to disclose additional information for Mr. Pickrell if he has ever been the subject of a bankruptcy petition or ever been found liable in either: (a) an arbitration; or (b) a civil, self-regulatory organization, or administrative proceeding. As none of these apply to Mr. Pickrell, there is no information to disclose in this regard.

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## **BROCHURE SUPPLEMENT**

Andrew R. Paolillo

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Ross, Sinclaire & Associates, LLC

2 Oliver Street, Suite 1003

Boston, MA 02109

(617) 748-5530

[www.rsanet.com](http://www.rsanet.com)

### **Purpose of the Brochure Supplement:**

This *BROCHURE SUPPLEMENT* provides information about Andrew Paolillo that supplements the Ross, Sinclaire and Associates, LLC *FIRM BROCHURE* document. You should have received a copy of that *FIRM BROCHURE*. Please contact Ross, Sinclaire & Associates, LLC if you did not receive Ross, Sinclaire & Associates, LLC's *FIRM BROCHURE*, or if you have any questions about the contents of this *BROCHURE SUPPLEMENT*.

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

### **Note:**

While Ross, Sinclaire & Associates, LLC may refer to itself as a "registered investment advisor" or "RIA", clients should be aware that registration with the SEC does not imply a certain level of skill or training.

## **Education, Business, and Disciplinary Information**

Andrew Paolillo

Date of Birth 09/24/1982

VP, Senior Portfolio Manager, RSA Asset Management of Ross, Sinclaire & Associates, LLC

### *Education*

BS in Business Administration with concentration in Finance, Fordham University, 2004

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### *Business Background*

Ross, Sinclair & Associates, LLC (8/2013 – Present) – VP, Senior Portfolio Manager, RSA Asset Management

Rocky Hill Asset Management (2009-2013) – Investment Advisor Representative

Bear Stearns (2004-2009)- Investment Advisor Representative

### *Disciplinary Actions*

Mr. Paolillo has not been involved in any legal or disciplinary event that would be material nor immaterial to a client's or prospective client's evaluation of the firm or integrity of Ross, Sinclair & Associates, LLC management or Registered Representative.

## **Other Business Activities and Additional Compensation**

Andrew Paolillo has no investment related outside business activities.

Andrew Paolillo has no non-investment related outside business activities.

## **Supervision**

As Managing Director of Ross Sinclair & Associates, LLC, Nelson Taul is primarily responsible for supervision of Andrew Paolillo. Advisory clients may contact Mr. Taul at (513) 381-3939.

## **REQUIREMENTS FOR STATE-REGISTERED ADVISERS**

Ross, Sinclair & Associates, LLC would be required to disclose additional information for Mr. Paolillo if he has ever been the subject of a bankruptcy petition or ever been found liable in either: (a) an arbitration; or (b) a civil, self-regulatory organization, or administrative proceeding. As none of these apply to Mr. Paolillo, there is no information to disclose in this regard.

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## **BROCHURE SUPPLEMENT**

William Kipfer Weese

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Ross, Sinclaire & Associates, LLC

2 Oliver Street, Suite 1003

Boston, MA 02109

(617) 748-5573

[www.rsanet.com](http://www.rsanet.com)

### **Purpose of the Brochure Supplement:**

This *BROCHURE SUPPLEMENT* provides information about Andrew Paolillo that supplements the Ross, Sinclaire and Associates, LLC *FIRM BROCHURE* document. You should have received a copy of that *FIRM BROCHURE*. Please contact Ross, Sinclaire & Associates, LLC if you did not receive Ross, Sinclaire & Associates, LLC's *FIRM BROCHURE*, or if you have any questions about the contents of this *BROCHURE SUPPLEMENT*.

Additional information about William Weese is also available on the SEC's website at

[www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)

### **Note:**

While Ross, Sinclaire & Associates, LLC may refer to itself as a "registered investment advisor" or "RIA", clients should be aware that registration with the SEC does not imply a certain level of skill or training.

## **Education, Business, and Disciplinary Information**

William Weese

Date of Birth 12/31/1970

Director of Advisory Marketing, RSA Asset Management of Ross, Sinclaire & Associates, LLC

### *Education*

BS in English Education, University of Maine, 1994

### *Business Background*

Ross, Sinclair & Associates, LLC (11/2013 – Present) – Director of Advisory Marketing, RSA Asset Management

Institutional Manager Resource, LLC (2011-2013) – Principal

Portfolio Brokerage Services, Inc. (2005-2011)- Regional Director

### *Disciplinary Actions*

Mr. Weese has not been involved in any legal or disciplinary event that would be material nor immaterial to a client's or prospective client's evaluation of the firm or integrity of Ross, Sinclair & Associates, LLC management or Registered Representative.

## **Other Business Activities and Additional Compensation**

William Weese has no investment related outside business activities.

William Weese has no non-investment related outside business activities.

## **Supervision**

As Managing Director of Ross Sinclair & Associates, LLC, Nelson Taul is primarily responsible for supervision of William Weese. Advisory clients may contact Mr. Taul at (513) 381-3939.

## **REQUIREMENTS FOR STATE-REGISTERED ADVISERS**

Ross, Sinclair & Associates, LLC would be required to disclose additional information for Mr. Weese if he has ever been the subject of a bankruptcy petition or ever been found liable in either: (a) an arbitration; or (b) a civil, self-regulatory organization, or administrative proceeding. As none of these apply to Mr. Weese, there is no information to disclose in this regard.

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## **BROCHURE SUPPLEMENT**

Joseph Robertson

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Ross, Sinclaire & Associates, LLC  
175 South Third Street, Suite 1090  
Columbus, OH 43215  
(614) 220-4069  
[www.rsanet.com](http://www.rsanet.com)

### **Purpose of the Brochure Supplement:**

This *BROCHURE SUPPLEMENT* provides information about Joseph Robertson that supplements the Ross, Sinclaire and Associates, LLC *FIRM BROCHURE* document. You should have received a copy of that *FIRM BROCHURE*. Please contact Ross, Sinclaire & Associates, LLC if you did not receive Ross, Sinclaire & Associates, LLC's *FIRM BROCHURE*, or if you have any questions about the contents of this *BROCHURE SUPPLEMENT*.

Additional information about Joseph Robertson is also available on the SEC's website at <http://www.adviserinfo.sec.gov>

Note: While Ross, Sinclaire & Associates, LLC may refer to itself as a "registered investment advisor" or "RIA", clients should be aware that registration with the SEC does not imply a certain level of skill or training.

### **Education, Business, and Disciplinary Information**

Joseph Robertson

Date of Birth 05/13/1968

Managing Director of Municipal Underwriting at Ross, Sinclaire & Associates, LLC

#### *Education*

B.S. in Finance and Economics, Ashland University

#### *Business Background*

Ross, Sinclaire & Associates, LLC (1/2011 – Present) – Investment Banker

17 year career as an experienced investment banker

#### *Disciplinary Actions*

Mr. Robertson has not been involved in any legal or disciplinary event that would be material nor immaterial to a client's or prospective client's evaluation of the firm or integrity of Ross, Sinclair & Associates, LLC management or Registered Representative.

### **Other Business Activities and Additional Compensation**

Joseph Robertson has no investment related outside business activities.

Joseph Robertson has non-investment related outside business activities. (Rental Property)

Joseph Robertson is a licensed securities broker and may earn compensation through commissions on an agency or principal basis on securities traded through Ross Sinclair & Associates, LLC.

### **Supervision**

As Managing Director for Ross Sinclair & Associates, LLC, Nelson Taul is primarily responsible for supervision of Joseph Robertson. Advisory clients may contact Mr. Taul at (513) 381-3939.

### **REQUIREMENTS FOR STATE-REGISTERED ADVISERS**

Ross, Sinclair & Associates, LLC would be required to disclose additional information for Mr. Robertson if he has ever been the subject of a bankruptcy petition or ever been found liable in either: (a) an arbitration; or (b) a civil, self-regulatory organization, or administrative proceeding. As none of these apply to Mr. Robertson, there is no information to disclose in this regard.



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## **BROCHURE SUPPLEMENT**

Eric Prall

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Ross, Sinclair & Associates, LLC  
175 South Third Street, Suite 1090  
Columbus, OH 43215  
(614) 220-0869  
[www.rsanet.com](http://www.rsanet.com)

### **Purpose of the Brochure Supplement:**

This *BROCHURE SUPPLEMENT* provides information about Eric Prall that supplements the Ross, Sinclair and Associates, LLC *FIRM BROCHURE* document. You should have received a copy of that *FIRM BROCHURE*. Please contact Ross, Sinclair & Associates, LLC if you did not receive Ross, Sinclair & Associates, LLC's *FIRM BROCHURE*, or if you have any questions about the contents of this *BROCHURE SUPPLEMENT*.

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

### **Note:**

While Ross, Sinclair & Associates, LLC may refer to itself as a "registered investment advisor" or "RIA", clients should be aware that registration with the SEC does not imply a certain level of skill or training.

## **Education, Business, and Disciplinary Information**

Eric Prall

Date of Birth 11/16/1981

Managing Director of Municipal Underwriting at Ross, Sinclair & Associates, LLC

#### *Education*

B.S. in Finance, The Fisher College of Business at Ohio State University

#### *Business Background*

Ross, Sinclair & Associates, LLC (2/2009 – Present) – Investment Banker

### *Disciplinary Actions*

Mr. Prall has not been involved in any legal or disciplinary event that would be material nor immaterial to a client's or prospective client's evaluation of the firm or integrity of Ross, Sinclair & Associates, LLC management or Registered Representative.

## **Other Business Activities and Additional Compensation**

Eric Prall has no investment related outside business activities.

Eric Prall has non-investment related outside business activities. (Rental Property)

Eric Prall is a licensed securities broker and may earn compensation through commissions on an agency or principal basis on securities traded through Ross Sinclair & Associates, LLC.

## **Supervision**

As Managing Director for Ross Sinclair & Associates, LLC, Nelson Taul is primarily responsible for supervision of Eric Prall. Advisory clients may contact Mr. Taul at (513) 381-3939.

## **REQUIREMENTS FOR STATE-REGISTERED ADVISERS**

Ross, Sinclair & Associates, LLC would be required to disclose additional information for Mr. Prall if he has ever been the subject of a bankruptcy petition or ever been found liable in either: (a) an arbitration; or (b) a civil, self-regulatory organization, or administrative proceeding. As none of these apply to Mr. Prall, there is no information to disclose in this regard.

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## **BROCHURE SUPPLEMENT**

Stanly James Katz

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Ross, Sinclaire & Associates, LLC  
3033 Kettering Boulevard, Suite 326  
Dayton, OH 45439  
(937) 293-5500  
[www.rsanet.com](http://www.rsanet.com)

### **Purpose of the Brochure Supplement:**

This *BROCHURE SUPPLEMENT* provides information about Stanley Katz that supplements the Ross, Sinclaire and Associates, LLC *FIRM BROCHURE* document. You should have received a copy of that *FIRM BROCHURE*. Please contact Ross, Sinclaire & Associates, LLC if you did not receive Ross, Sinclaire & Associates, LLC's *FIRM BROCHURE*, or if you have any questions about the contents of this *BROCHURE SUPPLEMENT*.

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

### **Note:**

While Ross, Sinclaire & Associates, LLC may refer to itself as a "registered investment advisor" or "RIA", clients should be aware that registration with the SEC does not imply a certain level of skill or training.

## **Education, Business, and Disciplinary Information**

Stanley James Katz

Date of Birth 5/7/1954

Investment Advisor at Ross, Sinclaire & Associates, LLC

#### *Education*

B.S. in Business Administration, University of North Carolina

#### *Business Background*

Ross, Sinclaire & Associates, LLC (1/2015 – Present)

ClientFirst Financial Strategies, Inc. (3/2010 - 12/2015) - President, Portfolio Manager

Western International Securities, Inc. (3/2014 – 12/2015) - Registered Representative

Access Financial Group (1/2003 - 3/2014) - Registered Representative

First Alliance Asset Management, Inc. (3/1998 - 3/2010) - Secretary/Treasurer

Round Hill Securities, Inc. (3/1998 - 1/2003) - Registered Representative

#### *Disciplinary Actions*

Mr. Katz has not been involved in any legal or disciplinary event that would be material nor immaterial to a client's or prospective client's evaluation of the firm or integrity of Ross, Sinclaire & Associates, LLC management or Registered Representative.

## **Other Business Activities and Additional Compensation**

Stanley Katz has no investment related outside business activities.

Stanley Katz has no non-investment related outside business activities.

Stanley Katz is a licensed securities broker and may earn compensation through commissions on an agency or principal basis on securities traded through Ross Sinclaire & Associates, LLC.

## **Supervision**

As Investment Advisor for Ross Sinclaire & Associates, LLC, Nelson Taul is primarily responsible for supervision of Stanley Katz. Advisory clients may contact Mr. Taul at (513) 381-3939.

## **REQUIREMENTS FOR STATE-REGISTERED ADVISERS**

Ross, Sinclaire & Associates, LLC would be required to disclose additional information for Mr. Katz if he has ever been the subject of a bankruptcy petition or ever been found liable in either: (a) an arbitration; or (b) a civil, self-regulatory organization, or administrative proceeding. As none of these apply to Mr. Katz, there is no information to disclose in this regard.