
BROCHURE SUPPLEMENT

Andy Warning

Ross, Sinclair & Associates, LLC
700 Walnut Street, Suite 600
Cincinnati, OH 45202
(513) 381-3939
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

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.

BROCHURE SUPPLEMENT

Thomas Williams

Ross, Sinclaire & Associates, LLC
700 Walnut Street, Suite 600
Cincinnati, OH 45202
(513) 381-3939
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

Note:

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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.

BROCHURE SUPPLEMENT

Justin Hennessy

Ross, Sinclaire & Associates, LLC
700 Walnut Street, Suite 600
Cincinnati, OH 45202
(513) 381-3939
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

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

Version Date: November 17, 2016

Page 7 of 34

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.

BROCHURE SUPPLEMENT

Peter P. Baden, CFA

Ross, Sinclaire & Associates, LLC
700 Walnut Street, Suite 600
Cincinnati, OH 45202
(513) 381-3939
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

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

Version Date: November 17, 2016

Page 11 of 34

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.

BROCHURE SUPPLEMENT

Rick B. Bell

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

Purpose of the Brochure Supplement:

This *BROCHURE SUPPLEMENT* provides information about Rick Bell 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 Rick Bell is also available on the SEC's website at 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

Rick Bell

Date of Birth 04/05/1979

Portfolio Manager, RSA Asset Management of Ross, Sinclair & 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.

BROCHURE SUPPLEMENT

Jake Terlau

Ross, Sinclaire & Associates, LLC
700 Walnut Street, Suite 600
Cincinnati, OH 45202
(513) 381-3939
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

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.

BROCHURE SUPPLEMENT

Bradley C Pickrell

Ross, Sinclaire & Associates, LLC
325 West Main Street, Suite 300
Lexington, KY 40507
(859) 977-6600
www.rsanet.com

Purpose of the Brochure Supplement:

This *BROCHURE SUPPLEMENT* provides information about Brad Pickrell 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 Brad Pickrell is also available on the SEC's website at 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

Brad Pickrell

Date of Birth 01/11/1980

Registered Representative, RSA Asset Management of Ross, Sinclaire & 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.

BROCHURE SUPPLEMENT

Andrew R. Paolillo

Ross, Sinclaire & Associates, LLC
2 Oliver Street, Suite 1003
Boston, MA 02109
(617) 748-5530
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

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

Version Date: November 17, 2016

Page 19 of 34

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.

BROCHURE SUPPLEMENT

William Kipfer Weese

Ross, Sinclaire & Associates, LLC
2 Oliver Street, Suite 1003
Boston, MA 02109
(617) 748-5573
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

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.

BROCHURE SUPPLEMENT

Joseph Robertson

Ross, Sinclaire & Associates, LLC
175 South Third Street, Suite 1090
Columbus, OH 43215
(614) 220-4069
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.

BROCHURE SUPPLEMENT

Eric Prall

Ross, Sinclaire & Associates, LLC
175 South Third Street, Suite 1090
Columbus, OH 43215
(614) 220-0869
www.rsanet.com

Purpose of the Brochure Supplement:

This *BROCHURE SUPPLEMENT* provides information about Eric Prall 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

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

Eric Prall

Date of Birth 11/16/1981

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

Education

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

Business Background

Ross, Sinclaire & 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.

BROCHURE SUPPLEMENT

Stanley James Katz

Ross, Sinclaire & Associates, LLC
3033 Kettering Boulevard, Suite 326
Dayton, OH 45439
(937) 293-5500
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 Stanley Katz is also available on the SEC's website at 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 (1/2016 – 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.

BROCHURE SUPPLEMENT

Lauren Katz Madera

Ross, Sinclaire & Associates, LLC

2769 N. Kenmore Ave.

Unit 1

Chicago, IL 60614

(773) 360-0883

www.rsanet.com

Purpose of the Brochure Supplement:

This *BROCHURE SUPPLEMENT* provides information about Lauren Katz Madera 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 Lauren Katz Madera is also available on the SEC's website at

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

Lauren Katz Madera

Date of Birth 1/10/1981

Investment Advisor at Ross, Sinclaire & Associates, LLC

Education

BBA in Finance from the University of Michigan Ross School of Business

MBA in Marketing and Entrepreneurship from the University of Chicago Booth School of Business

Version Date: November 17, 2016

Page **29** of **34**

CFA charter holder

Business Background

Ross Sinclair Asset Management (Oct 2016 – Present) – Investment Advisor

Magnetar Capital LLC (Apr 2012 – Oct 2016) – Client Service and Marketing Associate

Magnetar Capital LLC (Sept 2010 – Apr 2012) – Associate in the Office of the COO / Portfolio Finance

Man Investments (formerly known as Glenwood Capital Investments, LLC) (Sept 2007 – May 2010) – Investment Analyst

Man Investments (formerly known as Glenwood Capital Investments, LLC) (Sept 2005 – Sept 2007) – Operational Due Diligence Analyst

Man Investments (formerly known as Glenwood Capital Investments, LLC) (Sept 2004 – Sept 2005) – Research Assistant

Houlihan Lokey Howard & Zukin (Jul 2003 – Sept 2004) – Financial Analyst

Disciplinary Actions

Ms. Katz Madera 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 Investment Advisor Representative.

Other Business Activities and Additional Compensation

Lauren Katz Madera has no investment related outside business activities.

Lauren Katz Madera has non-investment related outside business activities. (Rental Property)

Supervision

As Investment Advisor for Ross Sinclair & Associates, LLC, Pat Ryan is primarily responsible for supervision of Lauren Katz Madera. Advisory clients may contact Mr. Ryan at (937) 293-9578.

REQUIREMENTS FOR STATE-REGISTERED ADVISERS

Ross, Sinclair & Associates, LLC would be required to disclose additional information for Ms. Katz Madera if she 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 Ms. Katz Madera, there is no information to disclose in this regard.

BROCHURE SUPPLEMENT

Lawrence Patrick Ryan

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

Purpose of the Brochure Supplement:

This *BROCHURE SUPPLEMENT* provides information about Pat Ryan 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 Pat Ryan is also available on the SEC's website at 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

Lawrence Patrick Ryan

Date of Birth 10/23/1962

Director of Operations at Ross, Sinclaire & Associates, LLC

Education

Master of Business Administration (Cum Laude), University of Dayton
B.S. in Business Administration (Cum Laude), University of Dayton
Certified Public Accountant

Business Background

Ross, Sinclair & Associates, LLC., (1/2016 – Present) - Director of Operations

ClientFirst Financial Strategies, Inc., (2/2010 – 12/2015) - Chief Financial Officer and Chief Compliance Officer.

Mental Health & Recovery Center of Clinton County, (2/2009 – 2/2010) - Chief Financial Officer

First Alliance Asset Management, Inc., (4/1998 – 9/2008) - Chief Financial Officer and Business Manager.

KPMG Peat Marwick, LLP, (11/1996 - 4/1998) - Consultant

Dempsey Waste Systems, Inc. / Laidlaw Waste, Inc., (2/1996-11/1996) - Controller

The University of Dayton, (9/1991 - 1/1996) - Internal Auditor

Danis Industries, (8/1988 - 4/1991) - Manager of Internal Audit, Financial/Operational Analyst

Touche Ross & Co., (9/1985 - 8/1988) - Senior Auditor

Disciplinary Actions

Mr. Ryan 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

Pat Ryan has no investment related outside business activities.

Pat Ryan has no non-investment related outside business activities.

Pat Ryan 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 Investment Advisor for Ross Sinclair & Associates, LLC, Tom Williams is primarily responsible for supervision of Pat Ryan. Advisory clients may contact Mr. Williams at (513) 381-3939.

REQUIREMENTS FOR STATE-REGISTERED ADVISERS

Ross, Sinclair & Associates, LLC would be required to disclose additional information for Mr. Ryan 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. Ryan, there is no information to disclose in this regard.