

*This brochure supplement provides information about Nathan Daniel Schleicher that supplements the ASC Wealth & Retirement Advisors LLC brochure. You should have received a copy of that brochure. Please contact Nathan Daniel Schleicher if you did not receive ASC Wealth & Retirement Advisors LLC's brochure or if you have any questions about the contents of this supplement.*

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

**ASC Wealth & Retirement Advisors LLC**  
d/b/a  
**ASC 401(k) Management**  
Form ADV Part 2B – Individual Disclosure Brochure  
*for*  
**Nathan Daniel Schleicher**  
Personal CRD Number: 4534784  
Investment Adviser Representative

ASC Wealth & Retirement Advisors LLC  
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Appleton, WI 54914  
(920) 888-1272  
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UPDATED: 08/13/2021

## Item 2: Educational Background and Business Experience

**Name:** Nathan Daniel Schleicher **Born:** 1978

### **Educational Background and Professional Designations:**

#### **Education:**

BS Finance Investments, Ferris State University - 2001

#### **Designations:**

C(k)P® - Certified 401(k)Professional

The C(k)P® Certified 401(k) Professional Designation represents the pinnacle of achievement for the professional Retirement Plan Advisor, recognizing a combination of substantial practical retirement plan management experience, and the completion of a comprehensive and highly specialized educational program. To earn the right to use the C(k)P® designation requires more than just academic aptitude. A financial professional must have demonstrated real world application of the core competencies taught in the classroom.

#### **Business Background:**

07/2020 - Present	President ASC Wealth & Retirement Advisors LLC d/b/a ASC 401(k) Management
04/2009 - Present	Investment Advisor Representative ASC Wealth & Retirement Advisors LLC d/b/a ASC 401(k) Management
04/2009 - 07/2010	Registered Representative Purshe Kaplan Sterling Investments
10/2005 - 04/2009	Registered Representative SII Investments, Inc.
09/2005 - 04/2009	Associate Advisor Allan Haugner & Hunt, Inc.

02/2005 - 07/2005

Junior Trader  
Presidential Brokerage

### **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**

Nathan Daniel Schleicher is not engaged in any investment-related business or occupation (other than this advisory firm).

### **Item 5: Additional Compensation**

Nathan Daniel Schleicher does not receive any economic benefit from any person, company, or organization, other than ASC Wealth & Retirement Advisors LLC in exchange for providing clients advisory services through ASC Wealth & Retirement Advisors LLC.

### **Item 6: Supervision**

As the Chief Compliance Officer of ASC Wealth & Retirement Advisors LLC, Nathan Daniel Schleicher supervises all activities of the firm. Nathan Daniel Schleicher's contact information is on the cover page of this disclosure document. Nathan Daniel Schleicher adheres to applicable regulatory requirements, together with all policies and procedures outlined in the firm's code of ethics and compliance manual.

### **Item 7: Requirements For State Registered Advisers**

*This disclosure is required by state securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

A. Nathan Daniel Schleicher has not been involved in any of the events listed below.

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
    - a) an investment or an investment-related business or activity;
    - b) fraud, false statement(s), or omissions;
    - c) theft, embezzlement, or other wrongful taking of property;
    - d) bribery, forgery, counterfeiting, or extortion; or
    - e) dishonest, unfair, or unethical practices.
  2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
    - a) an investment or an investment-related business or activity;
    - b) fraud, false statement(s), or omissions;
    - c) theft, embezzlement, or other wrongful taking of property;
    - d) bribery, forgery, counterfeiting, or extortion; or
    - e) dishonest, unfair, or unethical practices.
- B. Nathan Daniel Schleicher has not been the subject of a bankruptcy petition.