

This brochure supplement provides information about James Robert Allan that supplements the ASC Wealth & Retirement Advisors LLC brochure. You should have received a copy of that brochure. Please contact James Robert Allan 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 James Robert Allan is also available on the SEC's website at www.adviserinfo.sec.gov.

ASC Wealth & Retirement Advisors LLC
d/b/a
ASC 401(k) Management
Form ADV Part 2B – Individual Disclosure Brochure
for
James Robert Allan
Personal CRD Number: 1189422
Investment Advisor Representative

ASC Wealth & Retirement Advisors LLC
210 S. Bluemound Dr Ste: A
Appleton, WI 54914
(920) 735-9800
jim@ascwealth.com

UPDATED: 02/03/2021

Item 2: Educational Background and Business Experience

Name: James Robert Allan **Born:** 1955

Educational Background and Professional Designations:

Education:

BBA Comprehensive Public Accounting, University of Wisconsin Eau Claire - 1977

Business Background:

07/2020 - Present	Investment Advisor Representative ASC Wealth & Retirement Advisors LLC d/b/a ASC 401(k) Management
04/2015 - 06/2020	President ASC Wealth & Retirement Advisors LLC d/b/a ASC 401(k) Management
04/2009 - 06/2015	VP/Owner Verus Investment Advisory Group Inc
04/2009 - 07/2010	Registered Representative Purshe Kaplan Sterling Investments
05/1995 - 04/2009	Registered Representative SII Investments, Inc.
05/1986 - 04/2009	President/Owner Allan Haugner & Hunt Inc.

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

James Robert Allan is an independent licensed insurance agent, and from time to time, may offer clients advice or products from those activities. Clients should be aware that these services may pay a commission or other compensation and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment advisor. ASC Wealth & Retirement Advisors 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 utilize the services of any representative of ASC Wealth & Retirement Advisors LLC in connection with such individual's activities outside of ASC Wealth & Retirement Advisors LLC.

Item 5: Additional Compensation

James Robert Allan 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 only owner and as a representative of ASC Wealth & Retirement Advisors LLC, James Robert Allan supervises all activities of the firm. James Robert Allan's response information is on the cover page of this disclosure document. James Robert Allan adheres to all required regulations regarding the activities of an Investment Advisor 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.