

Securities America Advisors, Inc.  
**Advisor Brochure Supplement**  
(Part 2B of Form ADV)

This brochure supplement provides information about Joel Nelson that supplements the brochure for Securities America Advisors, Inc. (SAA). You should have received a copy of that brochure. Please contact Richard Maxey if you did not receive SAA's brochure or if you have any questions about the contents of this supplement. This Supplement has not been reviewed or approved by the U.S. Securities & Exchange Commission, any state regulatory agency or self-regulatory organization.

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

November 08, 2018



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12325 Port Grace Blvd  
La Vista, NE 68128  
[www.securitiesamerica.com](http://www.securitiesamerica.com)  
800-747-6111

# Brochure Supplement (Part 2B of Form ADV)

## Item 2. Educational Background and Business Experience

Year of Birth: 1967

Educational Background:

Your financial advisor has graduated from the following institution(s):

Institution Name: University of Minnesota

Date Completed: 5/1/1990

Degree Earned: BS

Area of Study: Industrial Engineering

Business/Employment Experience (for past five years):

Your financial advisor has the following employment background:

Employer Name: Securities America Advisors, Inc.

Start Date: 5/3/2010

End Date: Present

Title: Investment Advisor Representative

Address: 12325 Port Grace Blvd, La Vista, NE 68128

Type of Business: Registered Investment Advisor

Employer Name: Securities America, Inc.

Start Date: 5/3/2010

End Date: Present

Title: Registered Representative

Address: 12325 Port Grace Blvd, La Vista, NE 68128

Type of Business: Broker/Dealer

## Professional Designations

Certified Financial Planner™ (CFP®): To be a CFP®, one must:

- Hold a bachelor's degree from an accredited college or university
- Complete financial planning education requirements set by the CFP Board ([www.cfp.net](http://www.cfp.net))
- Successfully complete the 10-hour CFP® Certification Exam
- Obtain three-year qualifying full-time work experience
- Successfully pass the Candidate Fitness Standards and background check
- Complete 30 hours of continuing education every two years

## Item 3. Disciplinary History

None

#### Item 4. Other Business Activities

Your financial advisor may recommend the purchase and sale of securities products in their separate capacity as a registered representative with Securities America, Inc., a full service broker/dealer, member FINRA/SIPC. Securities America, Inc. and Securities America Advisors, Inc. are affiliated entities. A portion of the financial advisor's time each week is dedicated to securities and securities sales. Your financial advisor may receive commissions when offering securities products to clients.

In addition to his work with Securities America, Inc., the financial advisor is engaged in offering insurance and insurance products and is co-owner of an insurance agency: South Platte Agency, Inc. A portion of his time each week is dedicated to insurance and insurance sales, and he can earn commissions when acting in this separate capacity.

Compensation based on being a registered representative/insurance agent:

In addition to the advisory fees disclosed in your advisory agreement, your financial advisor may receive compensation, including bonuses and non-cash compensation, for selling certain securities or other investment products. As a result, certain incentives and conflicts of interest may exist for your financial advisor if you buy certain products or services recommended by your financial advisor.

Conflicts of interest may arise in the course of providing investment management services to you and the financial advisor's other financial industry activities. These potential conflicts of interest are described in this brochure. To the extent we are unable to prevent actual or potential conflicts, we will take reasonable steps to mitigate them and at a minimum, disclose them to you.

#### Item 5. Additional Compensation

The financial advisor may have an incentive to join or remain with Securities America, Inc. through compensation arrangements over and above the compensation that may be received for selling products and services through Securities America, Inc. These arrangements may include bonuses, enhanced pay-outs, forgivable loans, business transition loans, and other forms of cash/non-cash compensation for meeting certain production levels.

The financial advisor may receive bonuses or non-cash compensation relating to the promotion or sale of a program sponsor's products or services. These program sponsors may pay for training, education, or prospecting events such as seminars, for due diligence and travel expenses to these events, and occasionally they may provide business entertainment or gifts of nominal value to financial advisors.

The financial advisor may receive referral fees for referring a client or prospective client to SAA or a third party investment advisor.

Incentive programs and cash/noncash compensation are strictly regulated by the SEC, FINRA, and Securities America compliance policies.

## Item 6. Supervision

Your financial advisor's activities are supervised by someone working in the financial advisor's office and/or a member of SAA's supervision team. The supervisor provides ongoing training and support to your financial advisor and answers questions about financial planning or providing investment advice to clients. The supervisor also reviews the financial advisor's activities through SAA's client relationship management system, business submission reviews, email monitoring, and correspondence reviews. The person responsible for supervising the financial advisor's advisory activities, Richard Maxey, OSJ Branch Manager, can be reached at 916-437-4265.