

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

This brochure supplement provides information about Stephen Resch that supplements the brochure for Securities America Advisors, Inc. (SAA). You should have received a copy of that brochure. Please contact William Brice 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 Stephen Resch is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

July 25, 2018



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800-747-6111

# Brochure Supplement (Part 2B of Form ADV)

## Item 2. Educational Background and Business Experience

Year of Birth: 1953

Educational Background:

Your financial advisor has attended but did not graduate from the following institution(s):

Institution Name: St. John Fisher College

Beginning/End Date: 9/1/1971 to 6/1/1972

Degree Pursued: BA

Area of Study: Unknown

Business/Employment Experience (for past five years):

Your financial advisor has the following employment background:

Employer Name: Securities America Advisors, Inc.

Start Date: 10/30/2017

End Date: Present

Title: Investment Advisor Representative

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

Type of Business: Investment Advisor Representative

Employer Name: Securities America, Inc.

Start Date: 10/30/2017

End Date: Present

Title: Registered Representative

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

Type of Business: Registered Representative

Employer Name: Finance of America Reverse

Start Date: 12/1/2014

End Date: Present

Title: Vice President Retirement Strategies

Address: 8909 South Yale Avenue, Tulsa, OK 74137

Type of Business: Reverse Mortgage Wholesale Lender

Employer Name: National Planning Corporation

Start Date: 3/31/2006

End Date: 10/30/2017

Title: Investment Advisor Representative

Address: 12655 West Jefferson Blvd., Suite 03-173, Los Angeles, CA 90066

Type of Business: Investment Advisor Representative

Employer Name: National Planning Corporation

Start Date: 3/31/2006

End Date: 10/30/2017

Title: Registered Representative

Address: 12655 West Jefferson Blvd., Suite 03-173, Los Angeles, CA 90066

Type of Business: Broker/Dealer

Employer Name: Generation Mortgage

Start Date: 5/1/2012

End Date: 10/7/2014

Title: Vice President Wholesale

Address: 3565 Piedmont Road NE, Atlanta, GA 30305

Type of Business: Reverse Mortgage Wholesale Lender

## Professional Designations

None

## 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 as an insurance agent. 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.

Mr. Resch is also the Vice President of Retirement Strategies for Finance of America Reverse, a business-to-business reverse mortgages entity dealing with banks and mortgage brokers. He has no consumer contact or sales when performing this activity, but is compensated for his time.

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, William Brice, OSJ Branch Manager, can be reached at 860-432-7233.