

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

This brochure supplement provides information about Jose Rodriguez that supplements the brochure for Securities America Advisors, Inc. (SAA). You should have received a copy of that brochure. Please contact Charles Hais 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.

Phone: 937-427-4292

Fax: 937-427-1242

E-Mail: [rafi.rodriquez@securitiesamerica.com](mailto:rafi.rodriquez@securitiesamerica.com)

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

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

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## Item 2. Educational Background and Business Experience

Year of Birth: 1955

Educational Background:

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

Institution Name: University of Puerto Rico

Date Completed: 6/10/1978

Degree Earned: BS

Area of Study: Chemistry

Institution Name: Air Force Institute of Technology

Date Completed: 6/16/1984

Degree Earned: BS

Area of Study: Aeronautical Engineering

Institution Name: University of West Florida

Date Completed: 8/1/1987

Degree Earned: MS

Area of Study: System Analysis

Business/Employment Experience (for past five years):

Your financial advisor has the following employment background:

Employer Name: Securities America Advisors, Inc.

Start Date: 4/28/2009

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: 4/28/2009

End Date: Present

Title: Registered Representative

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

Type of Business: Broker/Dealer

Employer Name: Rodriguez Financial Strategies, LLC  
Start Date: 4/30/2009  
End Date: Present  
Title: President  
Address: 4031 Colonel Glenn Highway, Beavercreek, OH 45431  
Type of Business: Financial Planning Services

## Professional Designations

Retirement Income Certified Professional (RICP). To be a RICP, a representative must:

- Meet experience and ethics standards
- Successfully complete 3 courses: (1) the retirement income process, strategies and solutions; (2) sources of retirement income and (3) managing the retirement income plan
- Successfully complete the final designation exam
- Complete 15 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 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.

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, Charles Hais, OSJ Branch Manager, can be reached at 513-729-9733.