

Part 2A of Form ADV: *Firm Brochure*

**WSA Affiliates, LLC.**

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03/22/2022

This brochure provides information about the qualifications and business practices of WSA Affiliates, LLC. If you have any questions about the contents of this brochure, please contact us at 214-234-7695 or [csorrow@wealthservicesalliance.com](mailto:csorrow@wealthservicesalliance.com). The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Registration of an investment adviser does not imply a certain level of skill or training.

Additional information about WSA Affiliates, LLC also is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You can search this site by a unique identifying number, known as a CRD number. Our firm's CRD number is 144108.

## Item 2 Material Changes

**Summary of Material Changes:** There are no material changes to report.

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## Item 4 Advisory Business

WSA Affiliates, LLC is a state-registered investment adviser with its principal place of business located in Texas. WSA Affiliates, LLC began conducting business in 2009.

The majority owner of WSA Affiliates, LLC. is Probity Advisors, Inc. The majority owner of Probity Advisors, Inc. is The Probity Shareholders Trust.

WSA Affiliates, LLC offers the following advisory services to our clients:

### ADVISORY REFERRAL SERVICES

WSA Affiliates, LLC acts as a solicitor on behalf of various independent registered investment advisers. WSA provides advisory services based on the information provided by Client regarding Client's individual financial objectives, needs and circumstances. The advisory services provided may consist of, but are not limited to, assessing the Client's advisory needs, recommending affiliated and unaffiliated licensed advisors ("Other Advisors"), coordinating the activities of Other Advisors, and collecting and communicating necessary Client information to Other Advisors. WSA administers a professional services network where clients can contract for financial and estate planning, tax preparation and planning, insurance and risk management, and investment management services directly from Other Advisors. WSA's primary function is to act as a representative to the Client in order to help organize, summarize, evaluate and communicate the information provided by various and specialized Other Advisors.

At the time of conducting the advisory solicitation, WSA Affiliates, LLC will ensure that all federal and/or state specific requirements governing solicitation activities are met.

### FINANCIAL PLANNING

WSA provides financial planning services to Clients on a fee and non-fee basis. Financial planning is a process and suite of analyses designed to model a client's current and future financial status by using variables to predict future cash flows, asset values, and assist with withdrawal strategies. Financial planning is offered to Clients on either a formal or informal basis. Under a formal planning engagement, Clients will contractually hire WSA to produce a detailed written analysis for an agreed upon fee. Alternatively, WSA may provide clients with complimentary analyses in circumstances where a more comprehensive plan may not be warranted.

Financial plans may address any or all of the following areas:

- **PERSONAL:** We may review family records, budgeting, personal liability, estate information and financial goals.
- **TAX & CASH FLOW:** We may analyze the client's income tax and spending and planning for past, current and future years; then illustrate the impact of various investments on the client's current income tax and future tax liability.
- **INVESTMENTS:** We may analyze various investment options, their allocations and the effect on the client's portfolio.
- **INSURANCE:** We may review existing policies to ensure proper coverage for life, health, disability, long-term care, liability, home and automobile.
- **RETIREMENT:** We may analyze current withdrawal strategies and investment savings plans to help the client achieve his or her retirement goals.
- **DEATH & DISABILITY:** We may review the client's cash needs at death, income needs of surviving dependents, estate planning and disability income.
- **ESTATE:** We may assist the client in assessing and developing long-term strategies, including as appropriate, living trusts, wills, review estate tax, powers of attorney, asset protection plans, nursing homes, Medicaid and

elder law.

WSA gathers certain personal and financial information in order to provide our analyses. Information requested may include the client's current financial status, financial assets, tax status, future goals, returns objectives, needs and attitudes towards risk. Once analyzed, the client will be provided with recommendations, either formal or informal depending on the nature of the engagement. The Client is under no obligation to implement any of the recommendations or to work with any affiliated or unaffiliated Other Advisors we may suggest. At the Client's election, we will refer the client to Other Advisors and then work closely with those parties to help implement the desired solutions. Implementation of financial plan recommendations is entirely at the client's discretion.

WSA's services are not intended to constitute investment advice. WSA is not an investment manager, but may provide Clients with opinions on topics effecting their financial plan that may include:

- Business planning/succession/key-man issue
- Exchange-listed securities
- Securities traded over-the-counter
- Foreign issuers
- Warrants
- Corporate debt securities (other than commercial paper)
- Commercial paper
- Certificates of deposit
- Municipal securities
- Variable life insurance
- Variable annuities
- Mutual fund shares
- United States governmental securities
- Options contracts on securities
- Futures contracts on intangibles
- Interests in partnerships investing in real estate
- Interests in partnerships investing in oil and gas interests

Financial plans done pursuant to a formal engagement are typically presented to the client within six months of the contract date, provided that all information needed to prepare the financial plan has been promptly provided.

Financial planning recommendations are not limited to any specific product or service offered by a broker-dealer, advisor, accountant, attorney or insurance company. The recommendations can be implemented by any number of third-party advisors or professional services organizations. It should be noted that WSA receives compensation for referrals to Probitry Advisors, Inc. and has a financial interest in the event a chooses to implement any investment recommendations through Probitry Advisors, Inc.

WSA Affiliates, LLC does not participate in wrap fee programs.

WSA Affiliates, LLC does not manage client assets.

## Item 5 Fees and Compensation

### ADVISORY REFERRAL SERVICES FEES

WSA Affiliates, LLC enters into a Client Services Agreement (CSA) with each client with whom we provide advisory services. In addition to describing the services provided, the CSA discloses any compensation we may receive for these services and referrals to Other Advisors. WSA Affiliates, LLC typically receives from 0.00% to 1.00% (annually) of the client's assets under management held with any Other Advisors to whom we may refer the client. WSA Affiliates, LLC fees are billed, debited and remitted to WSA Affiliates, LLC by the Other Advisors consistent with their billing methodologies. WSA Affiliates, LLC compensation is separate from any compensation or product costs incurred as a result of the client choosing to become a client of the Other Advisors. Clients should refer to the Other Advisors' disclosure document and/or service agreement for additional information regarding their fees, billing practices, minimum required investments and termination of their advisory agreements.

### GENERAL INFORMATION

***Termination of the Advisory Relationship:*** A client agreement may be canceled at any time, by either party, for any reason upon receipt of written notice. As disclosed above, certain fees may be paid in advance of services provided. Upon termination of any account, any prepaid, unearned fees will be refunded. In calculating a client's reimbursement of fees, we will pro rate the reimbursement according to the number of days remaining in the billing period, paid in accordance with the policies of Other Advisor.

Advisory clients are subject to Other Adviser's minimum account requirements and advisory fees in effect at the time the client entered into the advisory relationship. Therefore, our firm's minimum account requirements and fee schedules may differ among clients we refer to Other Advisors.

***Advisory Fees in General:*** Clients should note that similar advisory services may (or may not) be available from other registered (or unregistered) investment advisers for similar or lower fees.

***Limited Prepayment of Fees:*** Under no circumstances do we require or solicit payment of fees in excess of \$500 more than six months in advance of services rendered

### FINANCIAL PLANNING FEES

WSA Affiliates, LLC.'s Financial Planning fee will be determined based on the nature of the services being provided and the complexity of each client's circumstances.

Our Financial Planning fees are calculated and charged on an hourly basis, ranging from \$100 to \$250 per hour based on the complexity of the case and rate of the planner providing the plan. Although the length of time it will take to provide a Financial Plan will depend on each client's personal situation, we will provide an estimate for the total hours and fee at the start of the advisory relationship.

We may request a retainer upon completion of our initial fact-finding session with the client; however, advance payment will never exceed \$500 for work that will not be completed within six months. The balance is due upon completion of the plan.

***Financial Planning Fee Offset:*** WSA Affiliates, LLC. reserves the discretion to reduce or waive the hourly fee if a financial planning client chooses to engage us for other services.

***Additional Fees and Expenses:*** In addition to our advisory referral services and financial planning fees, clients are also responsible for the fees and expenses charged by custodians, broker dealers, and Other Advisors.

## Item 6 Performance-Based Fees and Side-By-Side Management

WSA Affiliates, LLC does not charge performance-based fees.

## Item 7 Types of Clients

WSA Affiliates, LLC provides advisory services to the following types of clients:

- Individuals (other than high net worth individuals)
- High net worth individuals

WSA Affiliates, LLC does not have any account minimums. Advisory clients are subject to Other Adviser's minimum account requirements.

## Item 8 Methods of Analysis, Investment Strategies and Risk of Loss

### METHODS OF ANALYSIS

**Risk of Loss.** Investing in securities involves risk of loss that Client should be prepared to bear. We ask that you work with us to help us understand your tolerance for risk.

**Risks for all forms of analysis.** WSA Affiliates, LLC. does not consult or advise on specific securities or investment matters. However, to provide our consulting services, WSA Affiliates, LLC. does rely on accurate information being provided by the client. Furthermore, WSA Affiliates, LLC. relies on representations and data provided by other advisers. While WSA Affiliates, LLC. does conduct reasonable due diligence related to client and Other Adviser produced information, there is always a risk that our analysis and recommendations may be compromised by inaccurate or misleading information.

## Item 9 Disciplinary Information

We are required to disclose any legal or disciplinary events that are material to a client's or prospective client's evaluation of our advisory business or the integrity of our management.

Our firm and our management personnel have no reportable disciplinary events to disclose.

## Item 10 Other Financial Industry Activities and Affiliations

WSA Affiliates, LLC, is majority owned by Probity Advisors, Inc. an SEC registered investment advisory firm. Porter L. Ozanne III and Christopher T. Sorrow, Managing Members of our firm, are the officers and advisory representatives of Probity Advisors, Inc. There are disclosed referral arrangements between our firm and Probity Advisors, Inc. No WSA Affiliates, LLC. client is obligated to use the advisory services of Probity Advisors, Inc, as no Probity Advisors, Inc. advisory client is obligated to use our advisory services.

As required, any affiliated investment advisers are specifically disclosed in Section 7.A. on Schedule D of Form ADV, Part 1. (Part 1 of our Form ADV can be accessed by following the directions provided on the Cover Page of this Firm Brochure.)

Management personnel of our firm, in their individual capacities, are agents for various insurance companies. As such, these individuals are able to receive separate, yet customary commission compensation resulting from implementing product transactions on behalf of advisory clients. Clients, however, are not under any obligation to engage these individuals when considering implementation of advisory recommendations. The implementation of any or all recommendations is solely at the discretion of the client.

Clients should be aware that the receipt of additional compensation by WSA Affiliates, LLC and its management persons or employees creates a conflict of interest that may impair the objectivity of our firm and these individuals when making advisory recommendations. WSA Affiliates, LLC endeavors at all times to put the interest of its clients first as part of our fiduciary duty as a registered investment adviser; we take the following steps to address this conflict:

- we disclose to clients that they are not obligated to purchase recommended investment products from our employees or affiliated companies;
- we disclose to clients the existence of all material conflicts of interest, including the potential for us or our employees to earn compensation from the referral of clients to other registered investment advisers;
- we disclose to the client in a separate disclosure document the compensation we receive in exchange for the

client's referral to the selected investment adviser;

- we conduct initial and periodic due diligence on the selected investment advisers to establish that the advisers are suitable to recommend to our clients; and
- we educate our employees regarding the responsibilities of a fiduciary, including the need for having a reasonable and independent basis for the investment advice provided to clients.

As previously disclosed, we recommend the services of various registered investment advisers to clients. In exchange for this recommendation, we charge a referral fee that is in addition to the fee charged by the selected investment adviser. This fee may be greater than or lesser than the representative or administrative fee charged by an internal representative of the Other Adviser had the client opened a direct account with the Other Adviser. We will only recommend advisers that agree to bill, debit, and remit our fees as disclosed in our CSA.

We are aware of the special considerations required under Rule 206(4)-3 of the Investment Advisers Act of 1940. As such, all appropriate disclosure shall be made, and all applicable Federal and State laws will be observed.

### **Item 11 Code of Ethics, Participation or Interest in Client Transactions and Personal Trading**

Our firm has adopted a Code of Ethics which sets forth high ethical standards of business conduct that we require of our employees, including compliance with applicable federal securities laws.

WSA Affiliates, LLC and our personnel owe a duty of loyalty, fairness and good faith towards our clients, and have an obligation to adhere not only to the specific provisions of the Code of Ethics but to the general principles that guide the Code.

Our Code of Ethics also requires the prior approval of any acquisition of securities in a limited offering (e.g., private placement) or an initial public offering. Our code also provides for oversight, enforcement and recordkeeping provisions.

WSA Affiliates, LLC's Code of Ethics further includes the firm's policy prohibiting the use of material non-public information. While we do not believe that we have any particular access to non-public information, all employees are reminded that such information may not be used in a personal or professional capacity.

A copy of our Code of Ethics is available to our advisory clients and prospective clients. You may request a copy by email sent to [csorrow@wealthservicesalliance.com](mailto:csorrow@wealthservicesalliance.com), or by calling us at 214-234-7695.

As disclosed in the preceding section of this Brochure (Item 10), related persons of our firm are separately registered as investment adviser representatives of another registered investment adviser, and/or licensed as an insurance agent/broker of various insurance companies. Please refer to Item 10 for a detailed explanation of these relationships and important conflict of interest disclosures.

### **Item 12 Brokerage Practices**

**WSA Affiliates, LLC does not recommend broker-dealers to clients.**

WSA Affiliates, LLC does not have any soft-dollar arrangements and does not receive soft-dollar credits or services or research resulting from directing client assets to any particular custodian, brokerage firm or trading destination.

### **Item 13 Review of Accounts**

## **FINANCIAL PLANNING SERVICES**

**REVIEWS:** While reviews may occur at different stages depending on the nature and terms of the specific engagement, typically no formal reviews will be conducted for Financial Planning clients unless otherwise contracted for.

**REPORTS:** Financial Planning clients will receive a financial plan if so contracted. Additional reports will not typically be provided unless otherwise contracted for.

## ADVISORY REFERRAL SERVICES

**REVIEWS:** WSA Affiliates, LLC. does not provide advice on specific securities or investment matters that would require more regular reviews. While reviews may occur at different stages depending on the nature and terms of the specific engagement, typically no formal reviews will be conducted for Advisory Referral Services clients unless otherwise contracted for. Such reviews will be conducted by the client's account representative.

**REPORTS:** The nature of the advisory services provided by WSA Affiliates, LLC. does not lend itself to standard reporting.

### Item 14 Client Referrals and Other Compensation

#### CLIENT REFERRALS

WSA Affiliates, LLC. does not currently pay referral fees to independent persons or firms ("solicitors") for introducing clients to us.

The majority owner of WSA Affiliates, LLC., Probity Advisors, Inc., may pay referral fees to persons or firms ("Solicitors"), including WSA Affiliates, LLC, for introducing clients to them. Whenever they pay a referral fee, they require the Solicitor to provide the prospective client with a copy of their *Firm Brochure* and a separate disclosure statement that includes the following information:

- the Solicitor's name and relationship with their firm;
- the fact that the Solicitor is being paid a referral fee;
- the amount of the fee; and
- whether the fee paid to them by the client will be increased above their normal fees in order to compensate the Solicitor.

Clients that are introduced to Probity through Solicitors, including WSA Affiliates, LLC, are considered introduced accounts and the Solicitors investment representative may receive negotiated compensation for their advisory services and/or referral. All client accounts are managed utilizing the same research, trading, accounting, and portfolio management systems regardless of the means of introduction to Probity Advisors, Inc.

### Item 15 Custody

Our firm does not have actual or constructive custody of client accounts.

### Item 16 Investment Discretion

As previously disclosed in Item 4 of this brochure, our firm does not provide discretionary asset management services.

### Item 17 Voting Client Securities

WSA Affiliates, LLC. does not consult on specific securities or investment matters. WSA Affiliates, LLC. does not vote proxies.

### Item 18 Financial Information

Under no circumstances do we require or solicit payment of fees in excess of \$500 per client more than six months in advance of services rendered. Therefore, we are not required to include a financial statement.

WSA Affiliates, LLC has not been the subject of a bankruptcy petition at any time during the past ten years.

## Item 19 Requirements for State-Registered Advisers

The following individuals are the principal executive officers and management persons of WSA Affiliates, LLC:

- Porter Louis Ozanne III, President
- Christopher T. Sorrow, VP/ Chief Compliance Officer

Information regarding the formal education and business background for each of these individuals is provided in their respective Brochure Supplements.

Neither Porter L. Ozanne III nor Christopher T. Sorrow are providing individual advisory services in New York.

Please refer to Item 10, "Other Financial Industry Activities and Affiliations", for information regarding other business activities of the firm and its management personnel.

We are not compensated for advisory services with performance-based fees.

We are required to disclose all material facts regarding certain legal or disciplinary events pertaining to arbitration awards or other civil, regulatory or administrative proceedings in which our firm or management personnel were found liable or against whom an award was granted.

Our firm and our management personnel have no reportable disciplinary events to disclose.

As previously disclosed in "Other Financial Industry Activities and Affiliations" (Item 10), neither WSA Affiliates, LLC, nor our management personnel have a relationship or arrangement with any issuer of securities.

## Part 2B of Form ADV, Item 1: Brochure Supplement

Porter Louis Ozanne III

WSA Affiliates, LLC.  
10000 N. Central Expressway, STE 1326

Dallas, TX 75231  
214-234-7695

03/22/2022

This brochure supplement provides information about Porter Louis Ozanne III that supplements the WSA Affiliates, LLC. brochure. You should have received a copy of that brochure. Please contact Christopher T. Sorrow if you did not receive WSA Affiliates, LLC.'s brochure or if you have any questions about the contents of this supplement.

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

## Item 2 Educational, Background and Business Experience

**Full Legal Name:** Porter Louis Ozanne III      **Born:** 1948

### Education

- Southern Methodist University; BA, English; 1970

### Business Experience

- Probity Advisors, Inc.; President; from July 2002 to Present
- Ozanne & Associates; Proprietor; from February 1976 to Present
- WSA Affiliates, LLC.; President; from 10/2007 to Present
- OSA Inc.; President; February 1984 to Present
- Traderight Securities, Inc.; Branch Manager: 03/2007 to 04/2009

### Designations

Porter Louis Ozanne III has earned the following designation(s) and is in good standing with the granting authority:

**Chartered Financial Consultant (ChFC);** The American College; 1984

The ChFC program is administered by the American College, Bryn Mawr, Pennsylvania. This designation has the same core curriculum as the CFP® designation, plus two or three additional elective courses that focus on various areas of personal financial planning. In addition to successful completion of an exam on areas of financial planning, including income tax, insurance, investment and estate planning, candidates are required to have a minimum of three (3) years experience in a financial industry position.

**Accredited Estate Planner<sup>SM</sup>;** The American College; 1994

The Accredited Estate Planner (AEP®) is awarded by the National Association of Estate Planners & Councils to estate planners who have completed two graduate-level courses administered by The American College, meet specific professional requirements and who practice as one of the following: attorney, CPA, trust officer, CLU®, CFP® certificant or ChFC®.

## Item 3 Disciplinary Information

Porter Louis Ozanne III has no reportable disciplinary history.

## Item 4 Other Business Activities

### A. Investment-Related Activities

1. Porter Louis Ozanne III is also engaged in the following investment-related activities:

- Another investment adviser

*Porter L. Ozanne III is the president of an SEC registered investment adviser, Probity Advisors, Inc. Probity Advisors, Inc. is the majority owner of WSA Affiliates, LLC. Any conflict of interest is disclosed in Item 10.*

- Insurance company or agency

*Porter L. Ozanne III is the owner of an insurance agency, Ozanne & Associates. As such, he is able to receive separate, yet customary commission compensation resulting from implementing product transactions on behalf of advisory clients. Clients, however, are not under any obligation to engage these individuals when considering implementation of advisory recommendations. The implementation of any or all recommendations is solely at the discretion of the client. Porter L Ozanne III receives commissions from the sale of life insurance, annuity products, long-term care insurance, and disability insurance.*

### B. Non Investment-Related Activities

1. Porter Louis Ozanne III is 50% owner in FA Holdings, Inc., a technology and marketing services firm, that provides integration and operational support to our affiliated firms. Porter Ozanne spends a substantial amount of time working for FA Holding and receives customary, non-advisory compensation from FA Holdings, Inc.

## Item 5 Additional Compensation

Porter Louis Ozanne III does not receive any economic benefit from a non-advisory client for the provision of advisory services.

## Item 6 Supervision

**Supervisor:** Board of Directors

**Phone Number:** 214-234-7695

WSA Affiliates, LLC. is a closely held business that is supervised jointly by Porter L Ozanne III and Christopher Sorrow with ultimate oversight by the board of directors to monitor, test and oversee employees performance and compliance with the firm's policies.

## Item 7 Requirements for State-Registered Advisers

### A. Additional Disciplinary History

Porter Louis Ozanne III has no additional reportable disciplinary history.

### B. Bankruptcy History

Porter Louis Ozanne III has not been the subject of a bankruptcy petition.

C. Porter L. Ozanne III does not provide individual advisory services in New York.

## Part 2B of Form ADV, Item 1: Brochure Supplement

Christopher Sorrow  
WSA Affiliates, LLC.  
10000 N. Central Expressway, STE 1326  
Dallas, TX 75231  
214-234-7695

03/22/2022

This brochure supplement provides information about Christopher Sorrow that supplements the WSA Affiliates, LLC. brochure. You should have received a copy of that brochure. Please contact Christopher T. Sorrow if you did not receive WSA Affiliates, LLC.'s brochure or if you have any questions about the contents of this supplement.

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

### Item 2 Educational, Background and Business Experience

**Full Legal Name:** Christopher Sorrow      **Born:** 1973

#### Education

- Southern Methodist University; MBA; 2002
- University of Rochester; BA, Economics and Political Science; 1995

#### Business Experience

- Probity Advisors, Inc.; Vice President, Portfolio Manager, Chief Compliance Officer; from July 2002 to Present
- WSA Affiliates, LLC.; Secretary; from February 2008 to Present
- Traderight Securities; Registered Representative: from September 2005 to April 2009

#### Designations

Christopher Sorrow has earned the following designation(s) and is in good standing with the granting authority:

#### Chartered Financial Analyst (CFA®)

This designation is offered by the CFA Institute (formerly the Association for Investment Management and Research [AIMR]). To obtain the CFA charter, candidates must successfully complete three difficult exams and gain at least three (3) years of qualifying work experience, among other requirements. In passing these exams, candidates demonstrate their competence, integrity and extensive knowledge in accounting, ethical and professional standards, economics, portfolio management and security analysis.

### Item 3 Disciplinary Information

Christopher Sorrow has no reportable disciplinary history.

### Item 4 Other Business Activities

#### A. Another investment adviser

Christopher Sorrow *is the vice president of an SEC registered investment adviser, Probity Advisors, Inc. Probity Advisors, Inc. is the majority owner of WSA Affiliates, LLC. Any conflict of interest is disclosed in Item 10.*

#### B. Non Investment-Related Activities

*Christopher Sorrow is 50% owner in FA Holdings, Inc., a technology and marketing services firm, that provides integration and operational support to our affiliated firms. Christopher Sorrow spends a substantial amount of time working for FA Holding and receives customary, non-advisory compensation from FA Holdings, Inc.*

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

Christopher Sorrow does not receive any economic benefit from a non-advisory client for the provision of advisory services.

#### **Item 6 Supervision**

**Supervisor:** Board of Directors

**Phone Number:** 214-234-7695

WSA Affiliates, LLC. is a closely held business that is supervised jointly by Porter L Ozanne III and Christopher Sorrow with ultimate oversight by the board of directors to monitor, test and oversee employees performance and compliance with the firm's policies.

#### **Item 7 Requirements for State-Registered Advisers**

##### **A. Additional Disciplinary History**

Christopher Sorrow has no additional reportable disciplinary history.

##### **B. Bankruptcy History**

Christopher Sorrow has not been the subject of a bankruptcy petition.

##### **C. Christopher T. Sorrow does not provide individual advisory services in New York.**

## Part 2B of Form ADV, Item 1: Brochure Supplement

Candace Cuniberti  
PO Box 648  
Salisbury, CT 06068  
860-671-0636

WSA Affiliates, LLC  
10000 N. Central Expressway, STE 1326  
Dallas, TX 75231  
214-234-7695

03/22/2022

This brochure supplement provides information about Candace Cuniberti that supplements the WSA Affiliates, LLC. brochure. You should have received a copy of that brochure. Please contact Christopher T. Sorrow if you did not receive WSA Affiliates, LLC's brochure or if you have any questions about the contents of this supplement.

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

## Item 2 Educational Background and Business Experience

**Full Legal Name:** Candace Cuniberti      **Born:** 1944

### Education

- Cornell University; BA, History of Art; 1966
- University of Rochester; MA, History of Art; 1968

### Business Experience

- Woodbury Financial Services, Inc; Registered Rep; from 01/2006 to 10/2011
- WSA Affiliates, LLC; Solicitor; from 10/2011 to Present

### Designations

Candace Cuniberti has earned the following designation(s) and is in good standing with the granting authority:

#### **Certified Financial Planner® (CFP®)**

The program is administered by the Certified Financial Planner Board of Standards Inc. Those with the CFP® designation have demonstrated competency in all areas of finance related to financial planning. Candidates complete studies on over 100 topics, including stocks, bonds, taxes, insurance, retirement planning and estate planning. In addition to passing the CFP certification exam, candidates must also complete qualifying work experience and agree to adhere to the CFP Board's code of ethics and professional responsibility and financial planning standards.

## Item 3 Disciplinary Information

Candace Cuniberti has no reportable disciplinary history.

## Item 4 Other Business Activities

### A. Investment-Related Activities

1. Candace Cuniberti is also engaged in the following investment-related activities:

#### **Insurance company or agency**

*Candace Cuniberti sells insurance outside her affiliation with WSA Affiliates, LLC. She is able to receive separate, yet customary commission compensation resulting from implementing product transactions on behalf of advisory clients. Clients, however, are not under any obligation to engage these individuals when considering implementation of advisory recommendations. The implementation of any or all recommendations is solely at the discretion of the client. Candace Cuniberti receives commissions from*

*the sale of life insurance, annuity products, long-term care insurance, and disability insurance.*

2. Candace Cuniberti does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

#### **B. Non Investment-Related Activities**

1. Candace Cuniberti serves as trustee of The Marque & Raymond Campbell trust which benefits 2 children for life with a charity as a residual beneficiary. On average she spends one hour per month during trading hours and five hours per month outside trading hours.

2. Candace Cuniberti serves as a co-trustee of The Frances Cuniberti Trust Family Trust. Her duties involve property management and trustee responsibilities. Most work is done on weekends.

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

Candace Cuniberti does not receive any economic benefit from a non-advisory client for the provision of advisory services.

#### **Item 6 Supervision**

**Supervisor:** Christopher T. Sorrow

**Title:** Secretary and Chief Compliance Officer

**Phone Number:** 214-891-8131

The firm maintains oversight through implementation of a firm wide compliance program. Either Christopher Sorrow or Alissa Kaiser reviews all accounts and client agreements before they are approved and/or opened.

#### **Item 7 Requirements for State-Registered Advisers**

##### **A. Additional Disciplinary History**

Candace Cuniberti has no additional reportable disciplinary history.

##### **B. Bankruptcy History**

Candace Cuniberti has not been the subject of a bankruptcy petition.

## Part 2B of Form ADV, Item 1: *Brochure Supplement*

Paul Anthony Heemann  
WSA Affiliates, LLC.  
10000 N. Central Expressway, STE 1326  
Dallas, TX 75231  
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This brochure supplement provides information about Paul Anthony Heemann that supplements the WSA Affiliates, LLC. brochure. You should have received a copy of that brochure. Please contact Christopher T. Sorrow if you did not receive WSA Affiliates, LLC.'s brochure or if you have any questions about the contents of this supplement.

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

### Item 2 Educational, Background and Business Experience

**Full Legal Name:** Paul Anthony Heemann      **Born:** 1960

#### Education

- St. Joseph's Seminary College; BA, Philosophy; 1983

#### Business Experience

- WSA Affiliates, LLC.; Solicitor; from 10/2007 to Present
- SWS Financial Services; Registered Representative; 11/2002 to 06/2011
- Heemann Financial; Owner; 03/1993 to 03/2003
- Tower Square Securities, Inc.; Registered Representative; 07/1999 to 11/2002

### Item 3 Disciplinary Information

Paul Anthony Heemann has no reportable disciplinary history.

### Item 4 Other Business Activities

#### A. Investment-Related Activities

1. Paul Anthony Heemann is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his time.

#### B. Non Investment-Related Activities

1. Paul Anthony Heemann performs some part-time accounting work for Robbins, Jenkins & Associates, PLLC (3 hours/week), but is otherwise not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his time.

### Item 5 Additional Compensation

Paul Anthony Heemann does not receive any economic benefit from a non-advisory client for the provision of advisory services.

## Item 6 Supervision

**Supervisor:** Christopher T. Sorrow

**Phone Number:** 214-234-7695

## Item 7 Requirements for State-Registered Advisers

### A. Additional Disciplinary History

Paul Anthony Heemann has no additional reportable disciplinary history.

### B. Bankruptcy History

Paul Anthony Heemann has not been the subject of a bankruptcy petition.

## Part 2B of Form ADV, Item 1: *Brochure Supplement*

Roy Lee Piske

WSA Affiliates, LLC.  
10000 N. Central Expressway, STE 1326  
Dallas, TX 75231  
281-732-3618

03/22/2022

This brochure supplement provides information about Roy Lee Piske that supplements the WSA Affiliates, LLC. brochure. You should have received a copy of that brochure. Please contact Christopher T. Sorrow if you did not receive WSA Affiliates, LLC.'s brochure or if you have any questions about the contents of this supplement.

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

### Item 2 Educational, Background and Business Experience

Full Legal Name: Roy Lee Piske Born: 1962

Business Experience

- WSA Affiliates, LLC.; Solicitor; from 02/2020 to Present
- Southwest Airlines; Ground Operations; 03/1981 to 09/2020
- Woodbury Financial Services, Inc.; Registered Representative; 08/2018 to 02/2020

### Item 3 Disciplinary Information

Roy Lee Piske has no reportable disciplinary history.

### Item 4 Other Business Activities

#### A. Investment-Related Activities

1. Roy Lee Piske is not engaged in any other investment-related business or occupation that provides substantial compensation or involves a substantial amount of his time.

#### B. Non Investment-Related Activities

1. Roy Lee Piske is not engaged in any non investment-related business or occupation that provides substantial compensation or involves a substantial amount of his time.

### Item 5 Additional Compensation

Roy Lee Piske does not receive any economic benefit from a non-advisory client for the provision of advisory services.

### Item 6 Supervision

Supervisor: Christopher T. Sorrow

Phone Number: 214-234-7695

### Item 7 Requirements for State-Registered Advisers

#### A. Additional Disciplinary History

Roy Lee Piske has no additional reportable disciplinary history.

## B. Bankruptcy History

Roy Lee Piske has not been the subject of a bankruptcy petition.