



**Wealth Advisor**

**Brent Soller, CFP®**

**CRD # 6733702**

Shepherd Financial, LLC

891 S. James Road

Columbus, OH 43227

Phone: (614) 296-6430

September 30, 2024

**Associated with the following Registered Investment Advisor**

**Shepherd Financial Investment Advisory, LLC**

**CRD # 288623**

111 Congressional Boulevard, Suite 100

Carmel, Indiana 46032

Phone: (317) 975-5033

This brochure supplement provides information about your Investment Adviser Representative (“your Advisor”), Brent Soller, who is registered and associated with Shepherd Financial Investment Advisory, LLC (Shepherd Financial Investment Advisory). This brochure is a supplement to the Shepherd Financial Investment Advisory Form ADV 2A brochures, of which you should have already received.

Additional information about your Investment Adviser Representative is available via the U.S. Securities and Exchange Commission's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Please Note: If you have not received a copy of the Form ADV 2A brochure, please contact Steven M. Wylam, Chief Compliance Officer, at (317) 975-5034. Brochure requests and additional questions may also be directed to Shepherd Financial Investment Advisory at (317) 975-5033.

## **EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE**

Brent Soller, CFP®

Year of Birth: 09/23/1980

### **Education**

Miami University, B.S.B., Business (Cum Laude), 2003

The Ohio State University, MBA, Investment Management, 2011

### **Business Experience**

Wealth Advisor, Shepherd Financial Investment Advisory CRD #288623, February 2024 - Present

Investment Adviser Representative, Shepherd Financial Investment Advisory CRD # 288623, February 2024 – Present

Investment Adviser Representative, Lincoln Investment CRD # 519, February 2024 – Present

Investment Adviser Representative, Capital Analysts CRD # 162200, February 2024 – Present

Registered Representative, Lincoln Investment CRD # 519, February 2024 – Present

Registered Representative, LPL Financial, LLC CRD # 6413, October 2019 – February 2024

Producer/Part Owner, Soller Insurance Agency, July 2016 – February 2024

Registered Advisor, FSC Securities Corp CRD # 7461, May 2017 – October 2019

Institutional Client Advisor, PNC Bank, N.A., April 2011 – July 2016

### **Professional Licenses / Designations**

Mr. Soller holds and maintains the following securities and insurance licenses and registrations required to engage in the offering of securities and investment products.

SIE – Securities Industry Essentials Examination

Series 7 - General Securities Representative Examination

Ohio Resident Insurance Producer #1117346 – Life, Accident & Health, Casualty, Life, Property, Variable Life & Annuity

In addition, Mr. Soller holds and maintains the following professional designation(s):

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

Designation Status: Currently offered and recognized by the issuing organization.

Issuing Organization: Certified Financial Planner Board of Standards, Inc.

Prerequisites: Candidate must meet the following requirements: A bachelor's degree (or higher) from an accredited college or university, and three years of full-time personal financial planning experience

Education Requirements: Candidate must complete a CFP-board registered program, or hold one of the following: CPA, ChFC, CLU, CFA, Ph.D. in business or economics, Doctor of Business Administration, Attorney's License

Exam Type: Final certification examination

Continuing Education Requirements: 30 hours every two years

## **DISCIPLINARY INFORMATION**

Mr. Soller has no material legal or disciplinary events to report.

## **OTHER BUSINESS ACTIVITIES**

Mr. Soller is a registered representative and investment adviser representative of Lincoln Investment and an investment adviser representative of Capital Analysts. Lincoln Investment and Capital Analysts are affiliated entities under common control. Mr. Soller may offer the services of either company when making financial recommendations to you. These companies offer similar services and products, but with different pricing structures for the services being offered. This may present a conflict of interest in that a recommendation to use a particular firm may be viewed as being in the best economic interest of Mr. Soller. If you purchase commissionable products through your Advisor, your Advisor will receive a commission, and in the case of mutual funds, possibly a 12b-1 fee. You are under no obligation to purchase commissionable products through Mr. Soller. However, please note Mr. Soller recommend to you the services he believes are most appropriate for you.

Mr. Soller is licensed to solicit, offer, and sell insurance products. Your Advisor may be appointed with various insurance companies. Mr. Soller may receive separate, yet customary, commission and other financial incentive compensation resulting from the purchases and sales of insurance products. You are under no obligation to purchase insurance products through Mr. Soller.

Your Advisor may be engaged in other outside business activities that have been identified as follows: Mr. Soller is an employee of Shepherd Financial, LLC, the operating entity for Shepherd Financial Investment Advisory.

## **ADDITIONAL COMPENSATION**

Please refer to the Fees and Compensation section in Shepherd Financial Investment Advisory's Form ADV 2A of which should have been provided to you by your Advisor. This section describes in detail the potential other forms of compensation, in addition to the advisory fee, that may be shared with Mr. Soller and other Financial Advisors by Shepherd Financial Investment Advisory.

For non-advisory product purchases, your Advisor may receive a sales commission which may be in addition to any advisory fees received on your advisory assets. In these situations, your Advisor may be financially incentivized to offer you both non-advisory and advisory products and services.

Lincoln Investment provides incentives, such as sales conferences, for financial advisors, the eligibility for which may be based on the number of advisory accounts or the total assets under management. This may present a potential conflict of interest. Shepherd Financial Investment Advisory hold their Financial Advisors to a Code of Ethics and owe a fiduciary duty to all clients and require your Financial Advisor to always place your interests above his or her own and to avoid any recommendation that would not be in your best interest. It is each financial advisor's responsibility to understand and adhere to the requirements of the Code of Ethics, as well as applicable laws, regulations, and rules.

## **SUPERVISION**

The individual responsible for monitoring the advisory activities of Mr. Soller is Steven M. Wylam, Chief Compliance Officer. Mr. Wylam or his designee is responsible to review the recommended financial plans and transactions of your Financial Advisor. The Chief Compliance Officer provides an oversight of the activities occurring in your account(s). If you have any questions about the trading or recommendations in your account, please call Mr. Wylam at (317) 975-5033.