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Louis A. Mucci

Brochure Supplement

March 23, 2018

This brochure supplement provides information about Louis (“Lou”) A. Mucci that supplements the brochure for Advisory Services Network, LLC (“ASN”). You should have received a copy of that brochure. Please contact Laura Tedball, Chief Compliance Officer, at 770-352-0449 if you did not receive a copy of our brochure or if you have any questions about the contents of this supplement.

Additional information about Lou Mucci, CRD #710279, is available on the SEC’s website at www.adviserinfo.sec.gov.



6600 Peachtree Dunwoody Rd • Embassy Row 600, Suite 575
Atlanta, GA 30328 • 770.352.0449

Educational Background and Business Experience

Louis (“Lou”) A. Mucci

Year of birth: 1957

Formal education:

- ✦ Yale University, BA, Political Science, 1979

Business background:

- ✦ Advisory Services Network, LLC dba Sound Advice Financial, Investment Adviser Representative, (07/2016 to Present)
- ✦ Ameriprise Financial Services, Inc., Financial Advisor/ Branch Manager, (10/2009 to 07/2016)
- ✦ Ameriprise Advisor Services, Inc., Financial Advisor (07/2009 to 10/2009)
- ✦ Stifel, Nicolaus & Company, Inc., Vice-President Investments, (03/2009-07/2009)
- ✦ Butler Wick & Co, Inc., Vice-President Investments, (06/2006-03/2009)
- ✦ A.G. Edwards & Sons, Inc., Vice-President Investments, (06/1990-06/2006)

Professional designations:

Mr. Mucci is a **Chartered Retirement Planning Counselor** (“CRPC®”). The CRPC® is a professional certification granted by the College for Financial Planning. To attain the designation students must:

- ✦ Successfully complete a course of study encompassing pre-and post-retirement needs, asset management, estate planning and the entire retirement planning process using models and techniques from real client situations.
- ✦ Pass the final examination

Individuals who become certified must complete 16 hours of continuing education unit hours every year and abide by the ACPM Code of Ethics.

Mr. Mucci is also an **Accredited Portfolio Management Advisor** (“APMA®”). The APMA® is a professional certification granted by the College for Financial Planning. To attain the designation students must:

- ✦ Successfully complete a course of study encompassing client assessment and suitability, risk/return, investment objectives, bond and equity portfolios, modern portfolio theory and investor psychology. Students have hands-on practice in analyzing investment policy statements, building portfolios, and

making asset allocation decisions including sell, hold, and buy decisions within a client's portfolio.

- ✦ Pass the final examination

Individuals who become certified must complete 16 hours of continuing education unit hours every year and abide by the ACPM Code of Ethics.

Disciplinary Information

Mr. Mucci has not been the subject of any legal or disciplinary event.

Other Business Activities

In addition to his association with Advisory Services Network, LCC, Mr. Mucci is a licensed insurance agent, offering insurance products and services through unaffiliated insurance companies.

If you purchase insurance products and services through Mr. Mucci in his capacity as an insurance agent, Mr. Mucci may receive commissions or other compensation from the sale of insurance products to you. This additional compensation may present a conflict of interest because it creates an incentive to recommend products and services based upon compensation, rather than on your needs. Mr. Mucci will explain the costs associated with any recommendations he makes. You have no obligation to do business with Mr. Mucci in his capacity as an insurance agent. Please be advised that Mr. Mucci strives to put his clients' interests first and foremost.

Additional Compensation

Mr. Mucci receives additional compensation for his activities as a licensed insurance agent. This may also include applicable sales awards and other prizes. This compensation is described under "Other Business Activities" above.

Supervision

Mr. Mucci is supervised by Laura Tedball, Chief Compliance Officer. Ms. Tedball may be reached at 770-352-0449

We supervise Mr. Mucci by requiring that he adhere to our processes and procedures as described in our firm's *Code of Ethics* and Compliance Procedures.

Additionally, we will monitor Mr. Mucci's advisory activities on a periodic and on-going basis by reviewing areas including, but not limited to, the following:

- ◆ Account opening documentation;
- ◆ Account transactions;
- ◆ Custodial information to assess account activity;
- ◆ Evidence that your financial situation, objectives, and individual investment needs are reviewed no less than annually; and
- ◆ Client communications.

ADDENDUM 2

PRIVACY STATEMENT

| FACTS | WHAT DOES ADVISORY SERVICES NETWORK, LLC DO WITH YOUR PERSONAL INFORMATION? | |
|---|--|-----------------------------|
| WHY? | Financial companies choose how they share your personal information. Federal law gives consumers the right to limit some but not all sharing. Federal law also requires us to tell you how we collect, share, and protect your personal information. Please read this notice carefully to understand what we do. | |
| WHAT? | <p>The types of personal information we collect and share depend on the product or service you have with us. This information may include:</p> <ul style="list-style-type: none"> • Social Security Number • Date of Birth • Income, Net Worth • Account Information • Wire Transfer Instructions | |
| HOW? | All financial companies need to share customers' and participants' personal information to run their everyday business. In the section below, we list the reasons financial companies can share their customers' or participants' personal information; the reasons ASN chooses to share; and whether you can limit this sharing. | |
| Reasons we can share your personal information. | Does ASN share? | Can you limit this sharing? |
| For our everyday business purposes- Such as to process your transactions, maintain your capital account(s), respond to court orders and legal investigations, or report to credit bureaus | YES | NO |
| For our marketing purposes- To offer our products and services to you | YES | NO |
| For joint marketing with other financial companies | NO | We do not share. |
| For our affiliates' everyday business purposes- Information about your transactions and experiences | YES | NO |
| For our affiliates' everyday business purposes- Information about your creditworthiness | We do not collect. | We do not collect. |
| For our affiliates to market to you | NO | We do not share. |
| For non-affiliates to market to you | YES* | YES |
| To limit our sharing | <p><i>*Should our Advisory Representative who services your account leave us to join another firm, we will permit that representative to retain non-public personal information about you so that he or she can assist with the transfer of your account and continue to serve your needs at the new firm, if you so choose. The representative's continuing use of information about you will be subject to the privacy policy of his or her new firm.</i></p> <p><i>You have a right to "opt out" of our permitting your ASN Advisory Representative to retain non-public personal information about you if he or she leaves us to join another firm. If you do not want to permit your Advisory Representative to retain such information you may contact our Chief Compliance Officer at compliance@advservnet.com or at the following address. You may contact us at any time to limit sharing.</i></p> <p style="text-align: center;">Advisory Services Network, LLC •6600 Peachtree Dunwoody Rd, Embassy Row 600, Suite 575, Atlanta, GA 30328</p> | |
| Questions? | Contact our Chief Compliance Officer at 770-352-0449 | |

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| Who we are | |
| Who is providing this notice? | ADVISORY SERVICES NETWORK, LLC (“ASN”) |
| What we do | |
| How does ASN protect my personal information? | To protect your personal information from unauthorized access and use, we use security measures that comply with federal law. These measures include computer safeguards and secured files and buildings. |
| How does ASN collect my personal information? | We collect your personal information, for example, when you <ul style="list-style-type: none"> • Open an account • Make deposits or withdrawals from your account • Tell us about your investment objectives, risk tolerance • Provide account information • Give us your contact details • Make a wire transfer |
| Why can't I limit all sharing? | Federal law gives you the right to limit only <ul style="list-style-type: none"> • Sharing for affiliates' everyday business purposes – information about your creditworthiness • Affiliates from using your information to market to you • Sharing for non-affiliates to market to you. <p>State laws and individual companies may give you additional rights to limit sharing.</p> |
| What happens when I limit sharing for a partnership interest I hold jointly with someone else? | Your choices will apply to all parties – unless you tell us otherwise, in writing. |
| Definitions | |
| Affiliates | Companies related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> • <i>Mainstay Capital Markets Consultants, Inc.</i> |
| Non-affiliates | Companies not related by common ownership or control. They can be financial and nonfinancial companies. <ul style="list-style-type: none"> • <i>ASN may share personal information with non-affiliated third parties such as broker-dealers, banks and investment advisers for business purposes. ASN may also share personal information with parties who provide technical support for our hardware and software systems, our legal and accounting professionals.</i> • <i>Should your Advisory Representative leave ASN, she or he may retain your information so that she or he may service your account at another firm unless you notify us in writing to limit this sharing.</i> |
| Joint marketing | A formal agreement between nonaffiliated financial companies that together market financial products or services to you. <ul style="list-style-type: none"> • <i>ASN does not jointly market.</i> |
| Additional Information | Please Note: When you are no longer a client, we continue to share your information as described in this notice. |