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## Part 2B of Form ADV: Brochure Supplement

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This brochure supplement provides information about Jeffrey Wayne Roman that supplements the Capital Asset Advisory Services, LLC brochure. You should have received a copy of that brochure. Please contact Ken Evangelista at 517-339-7662 if you did not receive Capital Asset Advisory Services, LLC's brochure or if you have any questions about the contents of this supplement.

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

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## Item 2 Educational Background and Business Experience

**Full Legal Name:** Jeffrey Wayne Roman

**Born:** 1987

### Education

Central Michigan University; Bachelor of Business Administration; 2010

### Business Experience

Capital Asset Advisory Services, LLC; Investment Advisor Representative; from 02/2014 to Present

LPL Financial; Registered Representative; from 04/2023 to Present

Geneos Wealth Management; Registered Representative; from 09/2017 to 04/2023

WFG Investments, Inc.; Registered Representative; from 03/2015 to 09/2017

INVEST Financial; Registered Representative; from 01/2014 to 03/2015

INVEST Financial; Registered Sales Assistant; From 02/2012 to 01/2014

### Designations

Certified Financial Planner® (CFP®)<sup>1</sup>

## Item 3 Disciplinary Information

Mr. Roman has no reportable disciplinary history.

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<sup>1</sup> 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.

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## Item 4 Other Business Activities

### A. Investment-Related Activities

Mr. Roman is a registered representative of LPL Financial (“LPL”). LPL is a securities broker-dealer (a member of FINRA, SIPC) and an investment adviser registered with the Securities and Exchange Commission. In addition, Mr. Roman is a licensed insurance agent and provides fixed insurance products through Capital Asset Insurance Services. He may receive compensation for his activities as a registered representative or insurance agent. Mr. Roman markets and administers these services through CG Financial Services and CG Financial Services of Caro, financial advisory services companies. Clients of CG Financial Services, CG Financial Services of Caro and Capital Asset Insurance Services may also be clients of CAAS.

As a registered representative of LPL, Mr. Roman may recommend securities or insurance products offered by LPL. He may also receive commissions for insurance products sold through Capital Asset Insurance Services. Thus, a conflict of interest exists between the interests of Mr. Roman and those of our advisory clients. No client is obligated to place securities transactions or purchase insurance through LPL or to purchase insurance through any other firm represented by Mr. Roman.

## Item 5 Additional Compensation

As noted above, Mr. Roman may receive compensation for his activities as a registered representative or insurance agent.

Mr. Roman is eligible to receive incentive awards (including prizes such as trips or bonuses) for recommending certain types of insurance policies or other investment products that he recommends.

While Mr. Roman endeavors at all times to put the interest of our clients first as part of our fiduciary duty, the possibility of receiving incentive awards creates a conflict of interest, and may affect his judgment when making recommendations.

## Item 6 Supervision

**Supervisor:** Kenneth Evangelista

**Title:** Chief Compliance Officer

**Phone Number:** 517-339-7662

CAAS’ procedures for supervising the activities of its investment adviser representatives include periodic reviews of branch offices and an annual review to ensure that compliance policies and procedures are being followed.