



# LION STREET<sup>TM</sup> ADVISORS

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**This Brochure Supplement provides information about Travis Edward Sollinger that supplements the Lion Street Advisors, LLC Brochure. You should have received a copy of that Brochure. Please contact Advisor Services at 512/776-8400 if you did not receive Lion Street Advisors, LLC Brochure or if you have any questions about the contents of this supplement.**

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

## Item 2: Educational Background and Business Experience

Born:

June 8, 1970

Formal Education after High School

**School Type:** College

**Name of School:** Washington & Jefferson College

**Degree Received:** BA

**Field of study:** Economics & Psychology

**Date:** 1988-1992

**School Type:** Graduate Program

**Name of School:** Robert Morris University

**Degree Received:** Master of Business Administration

**Field of study:** Finance

**Date:** 1997-1999

### Business Experience

- **Lion Street Financial, Registered Rep (August 2022 – Present)**
- **Lion Street Advisors, Investment Advisor, (August 2022 – Present)**
- **Solenture Advisors, LLC (2004 – Present)**
- **Prudential Securities, 2019**
- **Citizens Bank, 2018-2019, Private Wealth Advisor (2018-2019)**
- **Fort Pitt Capital Group, Director of Financial Planning (1999-2018)**
- **Allegheny Investments, Recruiter, (1997-1999)**
- **Mellon Bank, Personal Investment Consultant, (1993-1997)**
- **Olde York Financial Group, Registered Representative, (1992-1993)**

## **Professional Licenses/Designations**

### **Series 7 - General Securities Representative Exam (Stockbroker)**

To obtain the Series 7 an initial qualifying exam administered by the Financial Industry Regulatory Authority ("FINRA") must be passed. Continuing Education requirements include attending an Annual Compliance Meeting and Firm Element Training. Also required to be taken is a computer-based program within 120 days of the second anniversary of obtaining the registration and every three years thereafter.

### **Series 63 -Uniform Securities Agent State Law Exam**

To obtain the Series 63 an initial qualifying exam administered by the Financial Industry Regulatory Authority ("FINRA") must be passed. Continuing Education requirements include attending an Annual Compliance Meeting and Firm Element Training. Also required to be taken is a computer-based program within 120 days of the second anniversary of obtaining the registration and every three years thereafter.

### **Series 65 – Uniform Registered Investment Adviser Law Exam (RIA)**

To obtain the Series 65 an initial qualifying exam administered by the Financial Industry Regulatory Authority ("FINRA") must be passed. Continuing Education requirements include attending an Annual Compliance Meeting and Firm Element Training. Also required to be taken is a computer-based program within 120 days of the second anniversary of obtaining the registration and every three years thereafter.

**The CERTIFIED FINANCIAL PLANNER™, CFP®** and federally registered CFP (with flame design) marks (collectively, the "CFP® marks") are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board").

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 71,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;

- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board’s Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board’s enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

### **Item 3: Disciplinary Information**

Travis Sollinger does not have disciplinary history, Client and prospective clients are encouraged to view the registration records for REGISTERED REP through the SEC’s Investment Advisor Public Disclosure (IAPD) website at [www.advisorinfo.sec.gov](http://www.advisorinfo.sec.gov) or FINRA’s Broker Check database at [www.finra.org/brokercheck](http://www.finra.org/brokercheck).

## **Item 4: Other Business Activities**

The IAR is engaged in the following investment-related business activities:

Travis Sollinger is a registered representative of Lion Street Financial, LLC, (“LSF”) a registered broker/dealer and member of the Financial Industry Regulatory Authority (“FINRA”). As such, IAR may sell securities through LSF and receive normal and customary commissions as a result of such transactions. IAR may also receive other compensation such as mutual fund 12b-1 fees and variable annuity trails from product sponsors. Therefore, the IAR has a financial incentive to recommend securities based on the compensation to be received rather than on the client’s needs. The client is under no obligation to buy or sell securities through IAR. To the extent client does elect to open a brokerage account through LSF, disclosure is made as to the nature of the relationship, services and any compensation to be received by the registered representative at the time the account is established.

Travis Sollinger is also licensed as an insurance agent and may offer fixed and variable life insurance products for typical commissions as a result of such transactions. IAR may also receive other compensation such as fixed or variable life renewals from insurance carriers. Therefore, the IAR has a financial incentive to recommend insurance based on the compensation to be received rather than on the client’s needs. The client is under no obligation to purchase insurance through IAR. To the extent client does elect to purchase insurance through IAR, disclosure is made as to the nature of the relationship, services and any compensation to be received by the registered representative at the time of the transaction.

## **Item 5: Additional Compensation**

Travis Sollinger may receive cash and non-cash compensation from certain third-party product sponsors as permitted by industry rules. For example, product sponsors and other companies may reimburse IAR up to 100% of the cost of due diligence, training, and education/joint marketing meetings. In addition, sales by IARs may qualify them for additional compensation, including support for their business activities, attendance at seminars, and entertainment.

Travis Sollinger will also receive compensation from third-party investment advisors for referring client accounts to the third party for account management. The third-party will pay the IAR a solicitation fee for the referral. The IAR may also serve as the registered representative of record on the assets managed by the third-party investment advisor. When this is the case, the IAR will receive normal and customary compensation (e.g., commissions, 12b-1 fees, trails) for the purchase of the investments. This compensation is in addition to the referral fee paid by the third-party advisor.

Travis Sollinger has a financial industry affiliated business as an insurance agent. These practices represent conflicts of interest because it gives the IAR an incentive to recommend products based on the commission amount received. This conflict is mitigated by disclosures, procedures, and the firm’s Fiduciary obligation to place the client’s interest first and clients are not required to purchase any products. Clients have the option to purchase these products through another insurance agent of their choosing.

## **Item 6: Supervision**

We have adopted a system of compliance and supervision we believe is reasonably designed to oversee the activities of our Advisors in accordance with applicable law. We assign supervisors to oversee the activities of our Advisors conducted through our company. The designated supervisor of an Advisor may vary from time to time. If you have any questions or concerns, please contact our compliance department at 512.776.8400.