



## Item 1 - Cover Page

### **Sean P. Swanson**

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This brochure supplement provides information about Sean P. Swanson that supplements the TLG Advisors, Inc. Brochure. You should have received a copy of that brochure. Please contact TLG Advisors, Inc. if you did not receive TLGA's brochure or if you have any questions about the contents of this supplement.

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

## Item 2 – Educational Background and Business Experience

Mr. Swanson was born in 1980. He received his Bachelor of Arts from University of Miami (FL) in 1989. From 2008 until 2013 he was a Partner with New York Life. From 2013 until 2015 He was the VP of Element Insurance Partners. 2015 until 2019 he was an Investment Solutions Consultant for New York Life. In 2020 he returned to Element Insurance Partners as Executive Vice President. He currently holds



the designations Chartered Life Underwriter (CLU), Life Underwriter Training Council Fellow (LUTCF), and Retirement Income Certified Professional (RICP).

### **Item 3 - Disciplinary Information**

Registered investment advisers are required to disclose all relevant facts about any legal or disciplinary issues that you need to know about before deciding to invest your money with them. Mr. Swanson has no such issues on his record.

### **Item 4 - Other Business Activities**

Mr. Swanson sells commission-based products (such as insurance or annuities) as a registered representative of The Leaders Group, Inc., a FINRA-registered broker-dealer. He also offers fixed life, annuity, DI and LTC products through his position at Element Insurance Partners. He also receives compensation for his work as a singer/songwriter.

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

Mr. Swanson provides investment-planning advice to his customers on a fee basis. If you were to purchase a commission-based product from him, he will explain how he is paid and how it differs from a fee-based transaction. In addition, he may receive compensation from the activities detailed in Item 4 above.

### **Item 6 - Supervision**

We supervise our investment advisor representatives in the following ways:

- Compare activity in your account with your investment objectives;
- Ensure that your financial information and investment objectives have been recorded;
- Confirm that you are contacted annually to find out if there are any changes in your financial information or investment objectives;
- Verify that you receive quarterly statements;
- Make sure your advisory fees are being charged correctly;
- Ensure that we comply with your wishes concerning directed brokerage arrangements;
- Check to see if you are invested in securities that don't match your risk tolerance.

Advisory representatives are supervised by Jane Riley, TLG Advisors, Inc. Chief Compliance Officer. She may be reached at 303-797-9080, or [compliance@tlgadvisors.net](mailto:compliance@tlgadvisors.net).