

# Nicholas Edward Austin

intellicents investment solutions inc.

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**This Brochure Supplement provides information about Nicholas E. Austin that supplements the intellicents investment solutions inc. Brochure, a copy of which you should have received. Please contact our Director of Operations at 507-377-2919 if you did not receive intellicents investment solutions inc.'s Brochure or if you have any questions about the contents of this supplement. Additional information about Nicholas Austin is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## **Item 2- Educational Background and Business Experience**

Nicholas E. Austin born in 1980, received the following formal education after high school:

- 1998-2002 Gustavus Adolphus College, St. Peter, MN - B.A. Management/ Financial Economics

Business experience includes:

- 2014 – current Manager of Retirement Services of intellicents investment solutions inc., Albert Lea, MN
- 2010 – current Relationship Manager of intellicents investment solutions inc. (f/k/a Alliance Benefit Group Financial Services Corp.), Albert Lea, MN
- 2009-2010 Retirement Plan Administrator of Alliance Benefit Group North Central States, Albert Lea, MN
- 2003 – 2009 Loan Officer/ Compliance Manager of Security Bank Minnesota, Albert Lea, MN

Professional examinations, certifications and/or designations include:

- FINRA Securities examinations: Series 65
- Life, Accident & Health License
- Certified Plan Fiduciary Advisor (CPFA)
- ASPPA Qualified 401(k) Administrator (QKA)

CPFA is a professional designation issued by the National Association of Plan Advisors. The following requirements for the certification are: (1) completion of the Certified Plan Fiduciary Advisor Exam consisting of 75 multiple choice questions; (2) coursework areas include four modules: ERISA Fiduciary Roles and responsibilities, oversight, Plan investment management and Plan management; (3) designee demonstrates knowledge, expertise and commitment to working with retirement plans. The designees must accrue twenty hours of continuing education every two years.

ASPPA QKA is The Qualified 401(k) Administrator credential offered for retirement plan professionals who work primarily with 401(k) plans. Applicants for the QKA credentials are from various professional disciplines. They typically assist employers and consultants with the recordkeeping, non-discrimination testing and the administrative aspects of 401(k) and related defined contribution plans. A minimum of two years' experience in retirement plan related along with completion of examination series. Members must acquire 40 hours of continuing education in a two-year cycle including two hours of Ethics and two letters of recommendations. Individuals are required to renew ASPPA Membership annually to retain credentials.

## **Item 3- Disciplinary Information**

intellicents investment solutions inc. ("iis") is required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. IIS has no information to disclose in relations to this item.

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

intellicents investment solutions inc. is part of a consortium of companies that focus on providing employee benefit services to employers. The services include investment advisory services provided through IIS, and through its affiliated companies: life, disability and health insurance services, and benefits consulting services that range from defined contribution retirement Plans to employee wellness programs.

Insurance services are provided through intellicents inc. Nicholas Austin is a licensed agent of multiple insurance companies.

For services provided by the affiliated intellicents investment solutions companies, the companies and Nicholas Austin may receive consulting fees and/or commissions on sales of any investment and insurance product sold to clients. iis may also provide investment advisory services to the clients of the affiliated intellicents investment solutions companies; however, iis never receives commissions on any assets under management for which iis receives advisory fees.

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

Because of the nature and extent of the business intellicents investment solutions (iis and its affiliates) provides various custodians and mutual fund companies "revenue sharing" in the form of shareholder servicing fees, sub-transfer agency fees, 12b-1 fees and finders fees. These fees are fully disclosed to plan sponsors and participants, and are passed on to the plan sponsor or the plan for use in offsetting plan related fees.

#### **Item 6 - Supervision**

Nicholas Austin is one of several supervised persons who give general advice on behalf of intellicents investment solutions and under the direct supervision of Mr. Nicholas Holmes. Inquiries about Mr. Nicholas Austin should be forwarded to Mr. Nicholas Holmes as 800-880-4015.