



**ITEM 1: COVER PAGE**

**PART 2B OF FORM ADV: BROCHURE SUPPLEMENT**

**Francis (Frank) J. Roman**

**Synergy Asset Management, LLC  
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**March 2025**

This brochure supplement provides information about Francis (Frank) Roman that supplements our ADV Part 2A brochure. You should have received a copy of that brochure. Please contact us via phone (206) 386-5455 or email [info@synergy-am.com](mailto:info@synergy-am.com) if you did not receive Synergy's brochure or if you have any questions about the content of this supplement.

Additional information about Frank is available on the SEC's website at <http://www.adviserinfo.sec.gov>.

## **ITEM 2 EDUCATIONAL BACKGROUND AND EXPERIENCE**

Francis J. Roman, Financial Planner

Year of Birth: 1991

Education:

- Bachelor of Science, Mechanical Engineering, University of Idaho 2013

Business Experience:

- 2017 to current Synergy Financial Services/Asset Management, LLC
- 2015 to 2017 Tooling Design Engineer, Boeing Commercial Airplanes
- 2014 to 2015 Fracture Engineer, Oasis Petroleum
- 2012 to 2014 Mechanical Engineer, Cascade Aircraft Conversions
- 2010 to 2012 Nabors Industries
- 2009 to 2010 Kadrmass Lee & Jackson

## **Item 3 Disciplinary Information**

Synergy Asset Management, LLC is required to disclose all material facts regarding any legal or disciplinary events that would materially impact a client's evaluation of Frank Roman. No events have occurred that are applicable to this item.

## **Item 4 Other Business Activities**

Synergy Asset Management, LLC is required to disclose any outside business activities or occupation for compensation that could potentially create a conflict of interest with clients. Because Frank receives commissions related to the sale of certain insurance products, this can create a conflict whereby a client will purchase insurance products through KBR Financial LLC. While Frank will recommend such insurance products, a client is not obligated to purchase the recommended product through Frank or KBR Financial LLC.

Frank also works with Synergy Mergers + Acquisitions, LLC as a real estate broker and may receive compensation for performing this service.

## **Item 5 Additional Compensation**

In addition to compensation related to sales, client referrals and new accounts, Frank may receive commissions and/or trail commissions related his activities as an insurance agent and real estate dealings.

## **Item 6 Supervision**

Todd Jessup, Chief Compliance Officer, is responsible for all supervision and monitoring of investment advice and insurance recommendations Frank gives to clients. He can be reached at (206) 386-5455. While the underlying securities within accounts are continually monitored, Todd reviews these accounts at least quarterly. Accounts are reviewed in the context of each client's stated investment objectives and guidelines.