

# Dylan Autry-Ross Abel 400 Austin Ave Ste 200 Waco, TX 76701

Phone: 254-399-0212

Lion Street Advisors, LLC 515 Congress Ave, Suite 2500, Austin, TX 78701 512.776.8400

March 21st, 2023

This Brochure Supplement provides information about Dylan Autry-Ross Abel 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 Dylan Autry-Ross Abel is available on the SEC's website at www.adviserinfo.sec.gov.

# Item 2: Educational Background and Business Experience

**Born:** May 18<sup>th</sup>, 1991

#### Formal Education after High School

- McClennan Community College Associate of Arts in General Studies
- Tarleton State University Bachelor of Science in Business Administration and Management

#### **Relevant Work History**

- Stiba Wealth Management Financial Advisor (August 2022 Present)
- Northwestern Mutual Financial Representative (March 2021-August 2022)

## **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

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.

# **Item 3: Disciplinary Information**

Client and prospective clients are encouraged to view the registration records for Dylan Abel through the SEC's Investment Advisor Public Disclosure (IAPD) website at <a href="www.advisorinfo.sec.gov">www.advisorinfo.sec.gov</a> or FINRA's Broker Check database at <a href="www.finra.org/brokercheck">www.finra.org/brokercheck</a>.

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

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

Dylan Autry-Ross Abel is a Financial Advisor... From time to time, consultants with the contract department. He may receive separate, yet typical, compensation for this business. Eric Stiba has a financial industry-affiliated business as a licensed insurance agent. From time to time, he will offer clients advice or products from this activity.

This practice represents a conflict of interest because it gives an incentive to recommend products and services based on the commissions or fees received rather than on the client's needs. This conflict is mitigated by disclosures, procedures, and the firm's Fiduciary obligation to place the best interest of the client first, and the clients are not required to purchase any products or services.

Clients always have the right to choose to decide whether to act upon the recommendations of the firm. The client always has the right to affect the recommendations through the professional of their choosing.

# **Item 5: Additional Compensation**

Dylan Autry-Ross Abel 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.

Dylan Autry-Ross Abel 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.

# **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 verse 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.