



**PROSPERA**  
FINANCIAL SERVICES

Part 2B of Form ADV  
*Brochure Supplement*

Dax Thomas Williamson

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This brochure supplement provides information about Dax Thomas Williamson that supplements the Prospera Financial Services, Inc. Brochure. You should have received a copy of that Brochure. Please contact Sonia Biasatti, Supervisory Analyst @ 972-581-3046 if you did not receive Prospera Financial Services Inc.'s Brochure or if you have any questions about the contents of this supplement.

Additional information about Dax Thomas Williamson is available on the SEC's Website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Item 2: EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE FOR PRECEDING 5 YEARS

Dax was born in 1973 and earned a Bachelors of Science in Business Finance and Economics in 1996 from Humbolt State University and earned an associates degree from Consumnes River College in 1994.

Dax has been an investment advisor representative and has been licensed as a registered securities representative with Prospera since November 2008. He has been a licensed insurance agent since 2000.

Dax's past business experience includes employment with Summit Brokerage Services, Inc. from March 2007 to November 2008 and employment with Wachovia Securities Financial Network, LLC from July 2001 to March 2007.

Item 3: DISCIPLINARY INFORMATION

Dax has no reportable legal or disciplinary events deemed material to a client or prospective client's evaluation of his services.

Item 4: OTHER BUSINESS ACTIVITIES

In addition to being an investment advisory firm, Prospera is also a registered broker/dealer and member of FINRA/SIPC. Dax is separately licensed as a registered securities representative with Prospera.

When acting in his separate capacity as a registered representative, Dax will sell, for commissions, general securities products such as stocks, bonds, mutual funds, exchange-traded funds, and variable annuity and variable life products to advisory clients.

As such, Dax may suggest that you implement investment advice by purchasing securities products through a commission-based Prospera account in addition to a Prospera fee-based advisory account.

The receipt of commissions creates an incentive for Dax to recommend those products for which he will receive a commission. Consequently, the objectivity of the advice rendered to you could be biased. Dax controls for this conflict of interest by discussing with you the benefits and negatives of establishing a fee-based advisory account through Prospera versus establishing a commission-based brokerage account through Prospera. Dax does not earn commissions in advisory accounts.

He will receive 12b-1 fees from certain mutual fund companies as outlined in the fund's prospectus. 12b-1 fees come from fund assets, therefore, indirectly from your assets. The receipt of such fees represent an incentive for Dax to recommend funds with 12b-1 fees over funds that have no fees or lower fees.

Typically, he will receive 12b-1 fees only in brokerage accounts. However, such fees can be earned in advisory accounts if 12b-1 fee paying mutual funds are held in your managed account. Prospera maintains records of all 12b-1 fee payments to Dax which may be viewed by you upon request.

Dax is licensed with Prospera Life & Annuity Services, Inc. (PLA) to sell insurance and annuity products through various insurance companies. PLA is an affiliate and under common ownership with Prospera. When acting as an insurance agent, Dax will receive commissions for selling insurance and annuity products.

Dax may also receive other incentive awards for the recommendation/sale of annuities and other insurance products. The receipt of compensation and other incentive benefits may affect the judgment of Dax when recommending products to you.

You are never obligated or required to purchase insurance products from or through Dax and may choose any independent insurance agent and insurance company to purchase insurance products. Regardless of the insurance agent selected, the insurance agent or agency will receive normal commissions from the sale.

Item 5: ADDITIONAL COMPENSATION

In addition to the description of additional compensation provided in Item 4, Dax will receive expense reimbursement for travel and/or marketing expenses from distributors of investment and/or insurance products. Travel expense reimbursements are typically a result of attendance at due diligence and/or investment training events hosted by the product sponsors. Marketing expense reimbursements are typically the result of informal expense sharing arrangements in which product sponsors may underwrite costs incurred for marketing such as advertising, publishing and seminar expenses.

Although receipt of these travel and marketing expense reimbursements are not predicated upon specific sales quotas, the product sponsor reimbursements are typically made by those sponsors for whom sales have been made or it is anticipated sales will be made.

You should be aware that the receipt of additional compensation through 12b-1 fees, servicing fees, nominal sales awards and/or expense reimbursements creates a conflict of interest that may impact the judgment of Dax when making advisory recommendations.

Prospera has established relationships with other investment advisors through which Dax will act as a solicitor referring clients to the other investment advisors management programs. When acting in this solicitor/referral capacity, he will receive a portion of the fee paid to the other investment advisors by you.

Dax does not receive any bonus that is based, all or in part, on the number or amount of sales, client referrals, or new accounts. Also, he does not receive any economic benefit from anyone who is not a client for providing advisory services.

Item 6: SUPERVISION

Dax reports to Jen Huber, Sales Supervisor. Jen can be reached at 972-581-3000.

Dax's activities are also monitored by Prospera's compliance personnel and supervisory structure. Designated compliance members review performance and cost basis for your transactions by comparing executed transactions to your financial information. Your objectives are used to review for suitability. Transactions are reviewed through exception-based reporting referencing your objectives for any transaction that may not fit your stated objectives or of Prospera's understanding of your objectives will be flagged and reviewed with Dax.