

*This brochure supplement provides information about Andrew Y. Wasa that supplements the Focus Investment Advisors, Inc. brochure. You should have received a copy of that brochure. Please contact Andrew Y. Wasa, President if you did not receive Focus Investment Advisors, Inc.' brochure or if you have any questions about the contents of this supplement.*

*Additional information about Andrew Y. Wasa is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

## **Focus Investment Advisors, Inc.**

### **Form ADV Part 2B – Individual Disclosure Brochure**

*for*

#### **Andrew Y. Wasa**

Personal CRD Number: 1302473

Investment Adviser Representative

Focus Investment Advisors, Inc.  
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[wasa@focusinvestment.com](mailto:wasa@focusinvestment.com)

UPDATED: 3/29/2022

## Item 2: Educational Background and Business Experience

**Name:** Andrew Y. Wasa  
**Born:** 1961

### Education Background and Professional Designations:

#### Education:

BS Business Administration, University of San Diego - 1983

#### Designations:

AIF®- Accredited Investment Fiduciary

AIF® Minimum Qualifications:

- Sign and agree to abide by a code of ethics
- Complete six hours of continuing professional education, 4 of which are fi360 Training CE
- Maintaining current contact information in fi360's designee database
- Submit yearly renewal application with \$325 in annual dues

CIMA® - Certified Investment Management Analyst

CIMA® Minimum Qualifications:

- The CIMA certification program requires that candidates meet all eligibility requirements, including experience, education, examination, and ethics.
- Candidates must demonstrate a minimum of three years of client-centered financial services experience and complete five steps to earn the certification: 1. submit application, fee, and pass background check; 2. pass online Qualification Examination; 3. complete education program with Registered Education Provider; 4. pass online Certification Examination; 5. and sign licensing agreement.

CPFA® -Certified Plan Fiduciary Advisor

CPFA® Minimum Qualifications:

- NAPA members who have earned a NAPA designation have demonstrated the knowledge and skill required to support retirement plans. NAPA designation holders have committed to adhering to the principles and rules of the NAPA code of conduct. Designation holders also commit to an annual continuing education requirement designed to ensure that they continue to develop the knowledge and skill required to serve as competent and ethical professionals.
- NAPA designation holders must complete ten (10) hours of Continuing Education ("CE") each calendar year following the calendar year the designation is earned. CE hours must meet the Continuing Education Content Standards outline below.
- Each calendar year a minimum of four (4) hours of the annual ten (10) hour CE requirement must cover retirement plan ("Relevant Topics") identified in this continuing education policy statement. In addition, a minimum of one (1) hour of CE credit earned annually must address professional ethics and the ARA's Code of Professional Conduct

("Ethics"). The remaining five hours may be on any topic relevant to a NAPA member's professional development ("Professional Development") in the retirement field.

## CIMC® - Certified Investment Management Consultant.

### CIMC® Minimum Qualifications:

- The Institute for Investment management Consultants awards this credential to financial advisors who pass two levels of NASD-administered exams.
- The IIMC's self-study course is what the exam is based on and it covers Investment Theory and the Management/Elements of Investment Consulting.

## **Business Background:**

1994 – Present	Partner/Investment Advisor Representative/CCO Focus Investment Advisors, Inc.
2011 – Present	Registered Representative LPL Financial
2010 – 2011	Registered Representative Girard Securities, Inc.
2006 – 2010	Registered Representative Securities America, Inc.
2005 – 2006	Registered Representative AIG Financial Advisors
1992 – 2005	Registered Representative Sentra Securities Corporation

### **Item 3: Disciplinary Information**

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

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

Andrew Y. Wasa is an OSJ for four registered representatives, who are also insurance agents, and oversees all transactions expedited by the representatives and insurance agents. From time to time, he will offer clients advice or products from those activities. Clients should be aware that these services pay a commission and involve a possible conflict of interest, as commissionable products can conflict with the fiduciary duties of a registered investment adviser. FIA always acts in the best interest of the client; including the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any representative of FIA in their capacity as a registered representative or insurance agent.

## **Item 5: Additional Compensation**

Other than salary, annual bonuses, regular bonuses, Andrew Y. Wasa does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through Focus Investment Advisors, Inc..

## **Item 6: Supervision**

As an owner and representative of Focus Investment Advisors, Inc., Andrew Y. Wasa supervises all duties and activities. Andrew Y. Wasa's contact information is on the cover page of this disclosure document.