

# **Form ADV Part 2B – Brochure Supplement**

**for**

**Randall T. Gerber  
Founder**

**Effective: May 3, 2022**

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Randall T. Gerber (CRD# 2124731) in addition to the information contained in the Gerber, LLC (“Gerber” or the “Advisor”, CRD# 120039) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Gerber Disclosure Brochure or this Brochure Supplement, please contact us at 614.431.4343 or by email at [Erik.Roemer@gerberclarity.com](mailto:Erik.Roemer@gerberclarity.com).

Additional information about Mr. Gerber is available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 2124731.

## Item 2 – Educational Background and Business Experience

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Randall T. Gerber, born in 1968, is dedicated to advising Clients of Gerber as the Founder and Owner. Mr. Gerber earned a degree from The Ohio State University Fisher College of Business in 1990. Additional information regarding Mr. Gerber's employment history is included below.

### Employment History:

Founder and Owner, Gerber, LLC	01/1999 to Present
Registered Representative, Purshe Kaplan Sterling Investments, Inc.	10/2020 to Present
CEO, Gerber Emerging Entrepreneur	07/2017 to Present
Independent Contractor, ID Theft Services	02/2014 to Present
Registered Representative, Raymond James Financial Services	1/1999 to 10/2020

## Item 3 – Disciplinary Information

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***There are no legal, civil or disciplinary events to disclose regarding Mr. Gerber.*** Mr. Gerber has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Gerber.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Gerber.***

However, we do encourage you to independently view the background of Mr. Gerber on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 2124731.

## Item 4 – Other Business Activities

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### Broker-Dealer Affiliation

Mr. Gerber is also a registered representative of Purshe Kaplan Sterling Investments, Inc. ("PKS"). PKS is a registered broker-dealer (CRD# 35747), member FINRA, SIPC. In Mr. Gerber's separate capacity as a registered representative, Mr. Gerber will receive commissions for the implementation of recommendations for commissionable transactions. Clients are not obligated to implement any recommendation provided by Mr. Gerber. Neither the Advisor nor Mr. Gerber will earn ongoing investment advisory fees in connection with any products or services implemented in Mr. Gerber's separate capacity as a registered representative. Mr. Gerber spends approximately 5% of his time per month in his role as a registered representative of PKS.

### Insurance Agency Affiliations

Mr. Gerber is also a licensed insurance professional. Implementations of insurance recommendations are separate and apart from Mr. Gerber's role with Gerber. As an insurance professional, Mr. Gerber will receive customary commissions and other related revenues from the various insurance companies whose products are sold. Mr. Gerber is not required to offer the products of any particular insurance company. Commissions generated by insurance sales do not offset regular advisory fees. This practice presents a conflict of interest in recommending certain products of the insurance companies. Clients are under no obligation to implement any recommendations made by Mr. Gerber or the Advisor. Mr. Gerber spends approximately 5% of his time per month in this capacity.

### Gerber Emerging Entrepreneur Experience, LLC

In his individual capacity, Mr. Gerber also serves as the Founder and CEO of Gerber Emerging Entrepreneur Experience, LLC ("Gerber Emerging Entrepreneur"). In this role, Mr. Gerber provides business advice and consulting services to emerging entrepreneurs. Mr. Gerber spends approximately 10% of his time in per month in this capacity.

**Gerber, LLC**  
580 N Fourth Street, Suite 400, Columbus, OH 43215  
Phone: 614.431.4343 \* Fax: 614.230.0669  
<http://www.gerberclarity.com/home>

### Identity Theft Services

Mr. Gerber also operates as an independent contractor where he sells Identity Theft Protection services. Approximately 5% of his time is spent in this role.

### **Item 5 – Additional Compensation**

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Mr. Gerber has additional business activities where compensation is received that are detailed in Item 4 above.

### **Item 6 – Supervision**

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Mr. Gerber serves as the Founder and Owner of Gerber and is supervised by Erik Roemer, the Chief Compliance Officer. Mr. Roemer can be reached at 614.431.4343.

Gerber has implemented a Code of Ethics, an internal compliance document that guides each Supervised Person in meeting their fiduciary obligations to Clients of Gerber. Further, Gerber is subject to regulatory oversight by various agencies. These agencies require registration by Gerber and its Supervised Persons. As a registered entity, Gerber is subject to examinations by regulators, which may be announced or unannounced. Gerber is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.

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## **Form ADV Part 2B – Brochure Supplement**

for

**Erik D. Roemer, CFP<sup>®</sup>, CEPA<sup>®</sup>  
Chief Compliance Officer**

**Effective: May 3, 2022**

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Erik D. Roemer (CRD# 2049954) in addition to the information contained in the Gerber, LLC (“Gerber” or the “Advisor”, CRD# 120039) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Gerber Disclosure Brochure or this Brochure Supplement, please contact us at 614.431.4343 or by email at [Erik.Roemer@gerberclarity.com](mailto:Erik.Roemer@gerberclarity.com).

Additional information about Mr. Roemer is available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 2049954.

## Item 2 – Educational Background and Business Experience

Erik D. Roemer, CFP®, CEPA®, born in 1968, is dedicated to advising Clients of Gerber as the Chief Compliance Officer. Mr. Roemer earned a Bachelor of Arts in Economics from Hamilton College in 1990. Additional information regarding Mr. Roemer's employment history is included below.

### Employment History:

Chief Compliance Officer, Gerber, LLC	04/2000 to Present
Registered Representative, Purshe Kaplan Sterling Investments, Inc.	10/2020 to Present
Registered Representative, Raymond James Financial Services	04/2000 to 10/2020

### CERTIFIED FINANCIAL PLANNER™ (“CFP®”)

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP® (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by the Certified Financial Planner Board of Standards, Inc. (“CFP® Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold the CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 71,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP® Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP® Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience under the supervision of a CFP® professional (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP® Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP® Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

### Certified Exit Planning Advisor™ (“CEPA®”)

The Certified Exit Planning Advisor™ and CEPA® are professional certification marks granted by The Exit Planning Institute®. It is recognized as the designation that business owners look for when looking for a trusted

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advisor. CEPA® applicants must meet strict requirements, including: a minimum of a bachelor's degree from an accredited U.S. college or university (or the equivalent from a foreign university); completion of the 5-day CEPA® program taught by a faculty of experts; and passing the CEPA® exam consisting of 150 multiple choice questions. Applicants must also have 5 years of experience dealing with the owners of privately-held businesses in some advisory capacity. All applicants for the CEPA® program must sign an attestation agreeing to abide by the Code of Ethics and Professional Standards™ of the Exit Planning Institute.

CEFA® advisors must complete ongoing continuing professional education and ethics requirements to maintain their certification, with recertification every three years and completing 40 hours of continuing education. More information on the CEPA® designation can be found on the Exit Planning website: [www.exit-planning-institute.org](http://www.exit-planning-institute.org)

### **Item 3 – Disciplinary Information**

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***There are no legal, civil or disciplinary events to disclose regarding Mr. Roemer.*** Mr. Roemer has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Roemer.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Roemer.***

However, we do encourage you to independently view the background of Mr. Roemer on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 2049954.

### **Item 4 – Other Business Activities**

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#### Broker-Dealer Affiliation

Mr. Roemer is also a registered representative of Purshe Kaplan Sterling Investments, Inc. (“PKS”). PKS is a registered broker-dealer (CRD# 35747), member FINRA, SIPC. In Mr. Roemer’s separate capacity as a registered representative, Mr. Roemer will receive commissions for the implementation of recommendations for commissionable transactions. Clients are not obligated to implement any recommendation provided by Mr. Roemer. Neither the Advisor nor Mr. Roemer will earn ongoing investment advisory fees in connection with any products or services implemented in Mr. Roemer’s separate capacity as a registered representative. Mr. Roemer spends approximately 10% of his time per month in his role as a registered representative of PKS.

#### Insurance Agency Affiliations

Mr. Roemer is also a licensed insurance professional. Implementations of insurance recommendations are separate and apart from Mr. Roemer’s role with Gerber. As an insurance professional, Mr. Roemer will receive customary commissions and other related revenues from the various insurance companies whose products are sold. Mr. Roemer is not required to offer the products of any particular insurance company. Commissions generated by insurance sales do not offset regular advisory fees. This practice presents a conflict of interest in recommending certain products of the insurance companies. Clients are under no obligation to implement any recommendations made by Mr. Roemer or the Advisor. Mr. Roemer spends approximately 10% of his time per month in this capacity.

### **Item 5 – Additional Compensation**

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Mr. Roemer has additional business activities where compensation is received that are detailed in Item 4 above.

### **Item 6 – Supervision**

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Mr. Roemer serves as the Chief Compliance Officer of Gerber. Mr. Roemer can be reached at 614.431.4343.

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# **Form ADV Part 2B – Brochure Supplement**

**for**

**Jason W. Fain  
Advisor**

**Effective: May 3, 2022**

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Jason W. Fain (CRD# 5592110) in addition to the information contained in the Gerber, LLC (“Gerber” or the “Advisor”, CRD# 120039) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Gerber Disclosure Brochure or this Brochure Supplement, please contact us at 614.431.4343 or by email at [Erik.Roemer@gerberclarity.com](mailto:Erik.Roemer@gerberclarity.com).

Additional information about Mr. Fain is available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 5592110.

## Item 2 – Educational Background and Business Experience

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Jason W. Fain, born in 1980, is dedicated to advising Clients of Gerber as an Advisor. Mr. Fain earned an M.A. in Counseling from Baptist Bible Graduate School of Theology in 2003. Mr. Fain also earned a B.S. in Biblical Studies from Baptist Bible College in 2001. Mr. Fain's employment history is included below.

### Employment History:

Advisor, Gerber, LLC	8/2021 to Present
Registered Representative, Purshe Kaplan Sterling Investments, Inc.	8/2021 to Present
RVP Mutual Fund Distribution, Transamerica Capital Inc	12/2017 to 12/2020
VP Territory Sales, American Century Investments	9/2008 to 7/2017

## Item 3 – Disciplinary Information

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**There are no legal, civil or disciplinary events to disclose regarding Mr. Fain.** Mr. Fain has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Fain.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. **As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Fain.**

However, we do encourage you to independently view the background of Mr. Fain on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 5592110.

## Item 4 – Other Business Activities

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### Broker-Dealer Affiliation

Mr. Fain is also a registered representative of Purshe Kaplan Sterling Investments, Inc. ("PKS"). PKS is a registered broker-dealer (CRD# 35747), member FINRA, SIPC. In Mr. Fain's separate capacity as a registered representative, Mr. Fain will receive commissions for the implementation of recommendations for commissionable transactions. Clients are not obligated to implement any recommendation provided by Mr. Fain. Neither the Advisor nor Mr. Fain will earn ongoing investment advisory fees in connection with any products or services implemented in Mr. Fain's separate capacity as a registered representative. Mr. Fain spends approximately 10% of his time per month in his role as a registered representative of PKS.

## Item 5 – Additional Compensation

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Mr. Fain has additional business activities where compensation is received that are detailed in Item 4 above.

## Item 6 – Supervision

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Mr. Fain serves as an Advisor of Gerber and is supervised by Erik Roemer, the Chief Compliance Officer. Mr. Roemer can be reached at 614.431.4343.

Gerber has implemented a Code of Ethics, an internal compliance document that guides each Supervised Person in meeting their fiduciary obligations to Clients of Gerber. Further, Gerber is subject to regulatory oversight by various agencies. These agencies require registration by Gerber and its Supervised Persons. As a registered entity, Gerber is subject to examinations by regulators, which may be announced or unannounced. Gerber is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.



# **Form ADV Part 2B – Brochure Supplement**

**for**

**Geoffrey L. Hulme  
Chief Investment Officer**

**Effective: July 13, 2022**

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Geoffrey L. Hulme (CRD# 289998) in addition to the information contained in the Gerber, LLC (“Gerber” or the “Advisor”, CRD# 120039) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Gerber Disclosure Brochure or this Brochure Supplement, please contact us at 614.431.4343 or by email at [Erik.Roemer@gerberclarity.com](mailto:Erik.Roemer@gerberclarity.com).

Additional information about Mr. Hulme is available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 289998.

## Item 2 – Educational Background and Business Experience

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Geoffrey L. Hulme, born in 1966, is dedicated to advising Clients of Gerber as the Chief Investment Officer. Mr. Hulme earned a Bachelor's of Business Administration with a Finance Major and Art History Minor from Villanova University in 1988. Additional information regarding Mr. Hulme's employment history is included below.

### Employment History:

Chief Investment Officer, Gerber, LLC	07/2022 to Present
Venture Partner, NCT Ventures	8/2021 to 6/2022
Managing Member and Chief Compliance Officer, Steel Valley Advisors, LLC	10/2019 to 02/2022
Consultant, Innoviva, Inc.	5/2020 to 5/2021
Interim CEO, Innoviva, Inc.	5/2018 to 5/2020
Partner, Amici Capital, LLC	4/1998 to 12/2015

## Item 3 – Disciplinary Information

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***There are no legal, civil or disciplinary events to disclose regarding Mr. Hulme.*** Mr. Hulme has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Hulme.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Hulme.***

However, we do encourage you to independently view the background of Mr. Hulme on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 289998.

## Item 4 – Other Business Activities

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Mr. Hulme is dedicated to the investment advisory activities of Gerber's Clients. Mr. Hulme does not have any other business activities.

## Item 5 – Additional Compensation

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Mr. Hulme is dedicated to the investment advisory activities of Gerber's Clients. Mr. Hulme does not receive any additional forms of compensation.

## Item 6 – Supervision

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Mr. Hulme serves as the Chief Investment Officer of Gerber and is supervised by Erik Roemer, the Chief Compliance Officer. Mr. Roemer can be reached at 614.431.4343.

Gerber has implemented a Code of Ethics, an internal compliance document that guides each Supervised Person in meeting their fiduciary obligations to Clients of Gerber. Further, Gerber is subject to regulatory oversight by various agencies. These agencies require registration by Gerber and its Supervised Persons. As a registered entity, Gerber is subject to examinations by regulators, which may be announced or unannounced. Gerber is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.