

**Item 1 Cover Page**

A.

**James M. Trippon**

**Trippon Wealth Management Group, LLC**

**ADV Part 2B, Brochure Supplement**

**Dated: December 10, 2013**

**Contact: Kimberly Drake Gilbert, Chief Compliance Officer  
8955 Katy Freeway, Suite 310  
Houston, Texas 77024**

B.

**This Brochure Supplement provides information about James M. Trippon that supplements the Trippon Wealth Management Group, LLC Brochure. You should have received a copy of that Brochure. Please contact Kimberly Gilbert, Chief Compliance Officer, if you did *not* receive Trippon Wealth Management Group, LLC's Brochure or if you have any questions about the contents of this supplement.**

**Additional information about James M. Trippon is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

**Item 2 Education Background and Business Experience**

James M. Trippon was born in 1961. Mr. Trippon graduated from the University of Illinois, Champaign-Urbana in 1982, with a Bachelor of Science degree in Accountancy. Mr. Trippon is a Managing Member and has been an investment advisor representative of Trippon Wealth Management Group, LLC since June of 2005. Mr. Trippon is also the owner and an accountant of J.M. Trippon & Co., PC, an accounting firm.

Mr. Trippon has held the designation of Certified Public Accountant ("CPA") since September 16, 1982. CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting,

attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two year period or 120 hours over a three year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA's *Code of Professional Conduct* within their state accountancy laws or have created their own.

### Item 3 Disciplinary Information

None.

### Item 4 Other Business Activities

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. **Licensed Insurance Agent.** Mr. Trippon, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Trippon to purchase insurance products on a commission basis. **Conflict of Interest:** The recommendation by Mr. Trippon that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. Trippon. Clients are reminded that they may purchase insurance products recommended by Mr. Trippon through other, non-affiliated insurance agents. **The Registrant's Chief Compliance Officer, Kimberly Gilbert, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

**Certified Public Accountant.** Mr. Trippon is a Certified Public Accountant and shareholder of J.M. Trippon & Co., PC ("*J.M. Trippon*"). To the extent that Mr. Trippon provides accounting and/or tax preparation services to any clients, including clients of Trippon Wealth Management Group, LLC, all such services shall be performed by *J.M. Trippon*, in its individual professional capacity, independent of Trippon Wealth Management Group, LLC, for which services Trippon Wealth Management Group, LLC shall not receive any portion of the fees charged by *J.M. Trippon*, referral or otherwise. It is expected that the shareholders of *J.M. Trippon*, solely incidental to their respective practices as Certified Public Accountants, shall recommend Trippon Wealth Management

Group, LLC's services to certain of its clients. *J.M. Trippon* is not involved in providing investment advice on behalf of Trippon Wealth Management Group, LLC, nor does *J.M. Trippon* hold itself out as providing advisory services on behalf of the Registrant. No client of Trippon Wealth Management Group, LLC is under any obligation to use the services of J.M. Trippon.

**Publishing.** The Registrant's Principal, James Trippon, owns Bretton Woods Press, LLC and Trippon Financial Media, Inc., both of which are publishing companies through which he publishes books, audio books, educational materials and newsletters. Bretton Woods Press LLC and Trippon Financial Media are completely separate entities from Registrant. Bretton Woods Press LLC and Trippon Financial Media Inc. rely on Section 202(a)(11) of the Investment Advisors Act of 1940 and its exclusion of publishers from the definition of an investment advisor..

**Chief Financial Officer.** The Registrant's Principal, James Trippon, is, in his individual capacity, the Chief Financial Officer and 20% owner of ANLOC, LLC, an oil and gas company. Aside from Mr. Trippon's ownership interest, ANLOC, LLC and the Registrant are separate and unaffiliated. In his capacity, Mr. Trippon has discretion over oil and mineral futures. The recommendation by Mr. Trippon that a client purchase oil and mineral futures presents a conflict of interest, as the receipt of compensation may provide an incentive to recommend a client purchase oil and mineral futures based on compensation received, rather than on a particular client's need. Accordingly, Mr. Trippon will not advise Registrant's clients regarding the purchase of oil and mineral futures.

## **Item 5 Additional Compensation**

None.

## **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with current state regulatory requirements. The Registrant's Chief Compliance Officer, Kimberly Gilbert, is primarily responsible for overseeing the activities of the Registrant's supervised persons. Ms. Gilbert also monitors accounts and conducts account reviews on at least an annual basis. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Gilbert at (713) 661-1040.

## **Item 7 State-Registered Investment Advisors**

- A. Mr. Trippon has never been involved in an arbitration proceeding or a civil, self-regulatory, or administrative proceeding.
- B. Mr. Trippon has never been the subject of a bankruptcy petition.