

TriCor Advisory Services, LLC

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Las Vegas, NV 89129

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10/28/2013

**FORM ADV PART 2B
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Frank Aguilar, Jason Garofalo and Elizabeth Delgado-Schuetze, Clay Archey that supplements the TriCor Advisory Services, LLC brochure. You should have received a copy of that brochure. Please contact Clay Archey, CCO if you did not receive TriCor Advisory Services, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about TriCor Advisory Services, LLC is available on the SEC's website at www.adviserinfo.sec.gov.

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Educational Background and Business Experience

Form ADV Part 2B, Item 2

Frank Aguilar

Year of Birth: 1953

Formal Education after High School:

- Attended UNLV 1972
- Attended University of Oklahoma, 1980-81

Business Background for the Previous Five Years:

- TriCor Financial, LLC, President 04/2007-Present
- TriCor Advisory Services, LLC, Partner, 11/2006-Present
- TriCor Insurance Services, LLC, Partner 01/2007-Present
- TriCor Financial Services, LTD, President 01/2001-Present

Certifications:

- Licensed with Series 7, 8, 24, 63, 65
- Licensed Life/Accident/Health
- Mr. Aguilar has over 37 years of banking and brokerage services. He managed the real estate lending center for five years at Security Pacific National Bank and held branch and lending administration positions at Nevada First Bank for five years. Frank spent 16 years at Valley Bank of Nevada as regional branch manager and launched that bank's third party investment program, eventually transitioning that into Bank of America's broker/dealer. Frank also managed Bank of America's broker operations within the State of Arizona.

Jason Garofalo

Year of Birth: 1975

Formal Education after High School:

- State University of New York at Binghamton, BA, Finance 1998

Business Background for the Previous Five Years:

- TriCor Financial, LLC, Director 04/2007-Present
- TriCor Advisory Services, LLC, Partner, 11/2006-Present
- TriCor Insurance Services, LLC, Partner 01/2007-Present
- TriCor Financial Services, LTD, Partner and Director, 2005-Present

Certifications:

- Licensed with Series 7, 24, 55, 66
- Licensed Life/Accident/Health
- Jason has nine years of financial services experience, including positions at Merrill Lynch, Prudential Financial, co-founded an online securities trading firm, and Citibank.

Elizabeth Delgado-Schuetze

Year of Birth: 1977

Formal Education after High School:

- College of Financial Planning, Accredited Wealth management Advisor, 2008

Business Background for the Previous Five Years:

- TriCor Financial, LLC, Director 04/2007-Present
- TriCor Advisory Services, LLC, Partner, 11/2006-Present
- TriCor Insurance Services, LLC, Partner, 01/2007-Present
- TriCor Financial Services, LTD, Director EVP, 04/2001-Present

Certifications:

- Licensed with Series 7, 24, 31, 66
- Licensed Life/Accident/Health
- Elizabeth has worked in the financial services industry since 1997. Prior to joining TAS, she supervised operations and client relations at Citibank.

Clay Archey

Year of Birth: 1978

Formal Education after High School:

- Southeastern Oklahoma State University, BA, Finance 2000

Business Background for the Previous Five Years:

- TriCor Financial, LLC, FINOP 04/2010-Present
- Archey & Co., LLC President, 11/2007-05/2009
- Independent Insurance Agent 07/2004-Present

Certifications:

- Licensed with Series 3, 4, 7, 24, 27, 53, 55, 63, 65, 86
- Licensed Life/Accident/Health
- Clay has worked in the financial services industry since 1999. Prior to joining TAS, he was President of Archey & Co., LLC a US based broker/dealer.

Disciplinary Information

Mr. Frank Aguilar, President and CEO of TriCor Financial, LLC an affiliate of TAS failed to file with FINRA an application for approval of a change in equity ownership at least 30 days prior to a 25% change in the indirect ownership equity of the firm.

Without admitting or denying the findings, Mr. Aguilar consented to the described sanctions and to the entry of findings; therefore, he was fined \$15,000, jointly and severally, and suspended from association with any FINRA member in any principal capacity for two months. The suspension was in effect from December 5, 2011, through February 4, 2012.

Other Business Activities

TAS has arrangements that are material to its advisory business or its clients with a related entity. TriCor Financial, LLC, a registered broker/dealer, is a wholly-owned subsidiary of TriCor Financial Services, Ltd. Applicant is under common control with the following entities that are engaged in the securities or investment advisory business. Certain directors and members of executive management of Applicant also serve as directors and/or executive management of these entities:

1. TriCor Financial, LLC ("TriCor Financial"), Registered Broker/Dealer, 10501 W Gowan Road., Suite 260, Las Vegas, NV, 89129 Firm CRD # 142518.

2. TriCor Financial, LLC ("TriCor Financial"), NFA Introducing Broker, 10501 W Gowan Road, Suite 260, Las Vegas, NV, 89129 NFA ID# 0424385

3. TriCor Financial Services, LTD, an insurance agency, 10501 W Gowan Road, Suite 260, Las Vegas, NV 89129

Additional Compensation

None.

Supervision

Clay Archey has the responsibility of supervising the advisers. He reviews work through frequent office interactions as well as remote interactions. He also reviews activities through our client relationship management system.

Clay Archey is also the Chief Compliance Officer for TAS and can be reached by phone at 702-254-1263 or e-mail at carchey@tricorltd.com

Requirements for State-Registered Advisers

Not applicable.