

TriCor Advisory Services, LLC

7201 W Lake Mead Blvd, Suite 114

Las Vegas, NV 89128

702-254-1263

3/28/2013

**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, CCO, 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, 79, 86, 87
- 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

Following is a list of those legal or disciplinary events that may be material to your evaluation of TriCor or the integrity of TriCor's management.

In January 2013, State of Nevada alleged that TriCor had been receiving non-cash compensation from various investment sponsors (offerors) in the form of participation in due diligence meetings paid for by such offerors without sufficient disclosure in the firm's for ADV Brochure. In addition, TriCor had six (6) investment advisor representatives (IARS) that were not licensed by the division in accordance with NRS 90.330.

Without admitting or denying the findings, TriCor Advisory Services, LLC consented to a censure, a \$6,250 fine, and an undertaking to revise the firm's ADV brochure regarding benefits received from various investment sponsors (offerors) in the form of participation in due diligence meetings paid for by such offerors. The investment advisors licensing requirements was detected by TriCor's management and self-reported. The IARs have subsequently been relicensed by the state.

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 is 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, 7201 W. Lake Mead Blvd., Suite 114, Las Vegas, NV, 89128 Firm CRD # 142518.
2. TriCor Financial, LLC ("TriCor Financial"), NFA Introducing Broker, 7201 W. Lake Mead Blvd, Suite 114, Las Vegas, NV, 89128 NFA ID# 0424385
3. TriCor Financial Services, LTD, an insurance agency, 7201 W. Lake Mead Blvd, Suite 114, Las Vegas, NV 89128

Additional Compensation

If the firm refers a client to certain independent managers where the firm compensation is included in the advisory fee charged by such independent managers, and the client engaged those independent managers, the firm shall be compensated for its services by receipt of a fee paid directly by the independent managers of the firm in accordance with the requirements of SEC Rule 206(4)-3 of the Advisers Act, and any corresponding state securities laws, rules, regulations or requirements. Any such fee shall be paid solely from the independent managers' investment management fee or the program fee of the wrap fee program (as appropriate), and shall not result in any additional charge to the client. The firm shall not receive referral fees or enter into fee sharing arrangements with the independent managers.

The IAR, TAS and TAS employees may receive additional non-cash compensation from certain third party product sponsors as permitted by industry rules. Such compensation may not be tied to the sales of any products. Compensation may include such items as gifts valued at less than \$100 annually, an occasional dinner or ticket to a sporting event, or reimbursement in connection with due diligence and/or investment training events, marketing or advertising initiatives. Advisory product sponsors may also pay for education or training events that may be attended by TAS employees and IARs.

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.