

**Item 1: Cover Page for Part 2B of Form ADV:  
Brochure Supplement  
August 2013**

**Mark Rothstein**

**Tri-Star Financial  
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**Firm Contact:  
Mark Rothstein  
Chief Compliance Officer**

**This brochure supplement provides information about Mark Rothstein that supplements our brochure. You should have received a copy of that brochure. Please contact Mr. Rothstein if you did not receive Tri-Star Financial's brochure or if you have any questions about the contents of this supplement.**

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

## Item 2: Educational Background & Business Experience

**Mark S. Rothstein**

**Year of Birth:** 1958

### **Educational Background:**

- 1980: Syracuse University; Bachelor of Arts in Accounting

### **Business Background:**

- 06/2008 – Present      Tri-Star Financial; Managing Member & CCO
- 08/1995 – Present      Tri-Star Financial Services; Principal
- 07/2010 – 03/2013      Centaurus Financial, Inc; Registered Representative
- 04/2006 – 07/2010      The Money Show; Host
- 12/1992 – 07/2010      LPL Financial, LLC; Registered Principal
- 10/2004 – 09/2008      Harmoney Financial, LLC; CEO

### **Exams, Licenses & Other Professional Designations:**

- 1982: Series 7 Exam
- 1992: CERTIFIED FINANCIAL PLANNER™ (CFP®)
- 1993: Series 24 Exam
- 1995: Series 63 Exam
- Enrolled Agent (EA)

### **CERTIFIED FINANCIAL PLANNER™ (CFP®)**

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP marks are professional certification marks granted in the United States by 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 CFP® certification. It is recognized in the United States and a number of other countries for its high standard of professional education, stringent code of conduct and standards of practice and ethical requirements that govern professional engagements with clients.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements: 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, pass the comprehensive CFP® Certification Examination, Complete at least three years of full-time financial planning-related experience and agree to be bound by CFP Board's *Standards of Professional Conduct*.

Individuals who become certified must 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 industry and 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.

**Enrolled Agent (EA):**

An Enrolled Agent is a federally authorized tax practitioner empowered by the United States Department of the Treasury to represent taxpayers before the IRS. To become an EA, applicant must pass the Special Enrollment Examination or have worked for the IRS for five years in a position which regularly interpreted and applied the tax code and its regulations. A background check, including a review of the applicant's tax compliance, is also conducted. The IRS requires EAs to complete 72 hours of continuing professional education every three years.

**Item 3: Disciplinary Information**

We have nothing to disclose in this regard.

**Item 4: Other Business Activities**

Mr. Rothstein is a registered representative of Purshe Kaplan Sterling Investments, Inc. ("PKS"), member FINRA/SIPC. He may offer securities and receive normal and customary commissions as a result of securities transactions. A conflict of interest may arise as these commissionable securities sales may create an incentive to recommend products based on the compensation Mark Rothstein may earn and may not necessarily be in the best interests of the client.

Mr. Rothstein is a licensed insurance agent/broker doing business as Tri-Star Insurance Services. He may offer insurance products and receive normal and customary fees as a result of insurance sales. A conflict of interest may arise as these insurance sales may create an incentive to recommend products based on the compensation he may earn and may not necessarily be in the best interests of the client.

Mr. Rothstein is the owner of Tri-Star Financial Services, a tax preparation and related services firm. These services are independent of our financial planning and investment advisory services and are governed under a separate engagement agreement. The fees for these services are billed hourly and are in addition to the client's Tri-Star Financial's fees. The hourly rate varies depending on the complexity of the work conducted. The client has the option of engaging our firm for tax preparation or accounting services, and we do not actively solicit clients to utilize these services.

**Item 5: Additional Compensation**

We have nothing to disclose in this regard.

**Item 6: Supervision**

Mr. Rothstein is the sole principal and Chief Compliance Officer and as such has no internal supervision placed over him. He is, however, bound by our firm's Code of Ethics.