

Item 1: Cover Page
Part 2B of Form ADV: Brochure Supplement
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Mark Rothstein



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Firm Contact:
Mark Rothstein
Chief Compliance Officer

This brochure supplement provides information about Mr. 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 Services LLC's brochure or if you have any questions about the contents of this supplement. Additional information about Mr. Rothstein is available on the SEC's website at 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:

- 01/2014 – Present Independent Financial Group, LLC; Registered Representative
- 06/2008 – Present Mr. Money Talks LLC; Managing Member
- 08/1995 – Present Tri-Star Financial Services LLC; Managing Member, Chief Compliance Officer & Investment Advisor
- 05/2013 – 12/2013 Purshe Kaplan Sterling Investments; Registered Representative
- 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 Harmony 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 Independent Financial Group, LLC ("IFG"), 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 Mr. Rothstein may earn.

Mr. Rothstein is a licensed insurance agent 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.

Mr. Rothstein is the owner of Mr. Money Talks LLC, a firm offering newsletters, seminars and financial organization tools. The services offered by Mr. Money Talks LLC are separate from the services offered in this Brochure and are governed by a separate engagement agreement. Clients are under no obligation to utilize these services.

Item 5: Additional Compensation

We have nothing to disclose in this regard.

Item 6: Supervision

Mr. Rothstein is the sole owner 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.