



PAULEY FINANCIAL
Helping people make important life choices

Part 2B of Form ADV: Brochure Supplement

Brian A. Cox
Pauley Financial Services, Inc.
4509 St. Clair Ct.
Flower Mound, TX 75022
512.215.4009

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This brochure supplement provides information about Brian A. Cox that supplements the Pauley Financial Services, Inc. ("Pauley Financial") brochure. You should have received a copy of that brochure. Please contact Brian A. Cox if you did not receive Pauley Financial's brochure or if you have any questions about the contents of this supplement.

Additional information about Brian A. Cox is available on the SEC's website at www.adviserinfo.sec.gov

Item 2 Educational, Background and Business Experience

Full Legal Name: Brian A. Cox **Born:** 1972

Education

- University of Michigan Business School; MBA, Finance and Corporate Strategy; 2003
- United States Military Academy (USMA) at West Point; BS, Economics; 1995

Business Experience

- Pauley Financial, Chief Compliance Officer and Principal; 12/2013 to Present
- Pauley Financial, Principal; 1/2012 to Present
- WestSpring Advisors, LP, Principal; 7/2009 to 12/2011
- Highland Capital Management, LP, Managing Director; 6/2006 to 5/2009
- JPMorgan Private Bank, Investment Associate; 8/2003 to 5/2006
- University of Michigan Business School, Full time MBA Student; 8/2001 to 5/2003
- Invensys NIS, Project Manager; 6/2000 to 6/2001
- United States Army Officer; 6/1995 to 6/2000

Designations

Brian A. Cox has earned the following designation(s) and is in good standing with the granting authority:

- Series 65; Uniform Investment Adviser Law Examination
- CERTIFIED FINANCIAL PLANNER (“CFP”) Certificant; CERTIFIED FINANCIAL PLANNER Board of Standards, Inc.; 2014

Description of designation requirements:

CERTIFIED FINANCIAL PLANNER (CFP) designation

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the “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 (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) 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:

- Education – Complete college or university-level coursework through a program registered with CFP Board, addressing the major personal financial planning areas identified by CFP Board's most recent Job Analysis Study;
- Verify that you hold a regionally accredited college or university bachelor's degree or higher (accreditation must be recognized by U.S. Department of Education at the time the degree is awarded).
- The coursework requirement must be completed before you sit for the CFP® Certification Examination; the bachelor's degree requirement may be completed after you pass the exam (within five years).
- Ethics – Agree to be bound by CFP Board's *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education 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 planning field; and
- Ethics – 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.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

Item 3 Disciplinary Information

Brian A. Cox has no reportable disciplinary history.

Item 4 Other Business Activities

A. Investment-Related Activities

1. Brian A. Cox is not engaged in any other investment-related activities.

2. Brian A. Cox does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

B. Non Investment-Related Activities

Brian A. Cox is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his time.

Item 5 Additional Compensation

Brian A. Cox does not receive any economic benefit from a non-advisory client for the provision of advisory services.

Item 6 Supervision

Supervisor: R. Douglas Pauley is the Managing Principal of the firm and supervises Brian A. Cox only. Brian A. Cox is a Principal of the Firm and the Chief Compliance Officer.

Title: Managing Principal

Phone Number: 512.773.6844