

# TJT Capital Group, LLC



**TJT Capital Group, LLC**  
**FORM ADV PART 2B - BROCHURE SUPPLEMENT**  
**March 27, 2015**

**9 W. Broad Street**  
**Stamford, Connecticut 06902**  
**Telephone: 203.504.8850**  
**Facsimile: 203.504.8849**  
**Email: [info@tjtcapital.com](mailto:info@tjtcapital.com)**  
**Website: [www.tjtcapital.com](http://www.tjtcapital.com)**

**This brochure supplement provides information about key personnel of TJT Capital Group that supplements the TJT Capital Group, LLC brochure. You should have received a copy of that brochure. Please contact Timothy McFadden if you did not receive TJT Capital Group's brochure or if you have any questions about the contents of this supplement.**

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

## Item 2: Educational Background and Business Experience

**Timothy McMullan**, born in 1961, has more than 28 years of experience in the investment management business. Prior to being a founding partner in TJT Capital Group, Tim was Senior Vice President of the Private Client Group of GE Private Asset Management, Inc., a unit of General Electric. From July 2004 until the founding of TJT Capital Group, Tim was responsible for the overall growth and profitability of the billion dollar money management group, as well as day-to-day operations and management of the team. Tim started his career at Merrill Lynch, spending eight years in the Park Avenue office in New York City as a Vice President. After Merrill Lynch, Tim moved to Paine Webber (now part of UBS) as a Vice President and portfolio manager in Stamford, CT. Tim graduated from Colgate University with a B.A. in Economics.

**James Cook, CFP®**, born in 1974, has more than 18 years in the investment management industry. Prior to becoming a founding partner in TJT Capital Group, Jim was a Vice President and Senior Account Executive with the Private Client Group of GE Private Asset Management, Inc. and its predecessor. Jim held a leadership position in Private Client Group with a focus on account management. Jim received a Bachelor's degree from SUNY Cortland in 1996 and an M.B.A. in Financial Management from Pace University's Lubin School of Business in 2001. He earned his Certified Financial Planner (CFP) designation in 2008.

**Timothy McFadden, CFP®**, born in 1963, also has more than 27 years of experience in the investment management industry. Prior to becoming a founding partner of TJT Capital Group, Tim spent more than 13 years working for several SEC Registered Investment Advisor (RIA) firms. Tim's emphasis at these firms was account management and business development. Tim received a B.A. in Economics in 1986 from Lehman College (CUNY) and achieved his Certified Financial Planner (CFP) designation in 1991.

### **CERTIFIED FINANCIAL PLANNER™, CFP®**

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. Currently, more than 62,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – 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). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;

- Examination – Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- 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 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 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

None

### Item 4: Other Business Activities

None

### Item 5: Additional Compensation

None

### Item 6: Supervision

Timothy McFadden, Chief Compliance Officer, will be responsible for the overall supervisory review process for our firm. Timothy McMullan, James Cook and Timothy McFadden advise clients of the firm and conduct regular reviews, which will be determined on a case-by-case basis. The factors that may trigger a review of an account(s) include, but are not limited to, large scale market fluctuations, the asset allocation percentage levels in an account and the calendar. Additional reviews may be performed as requested by a client. Client communication is tracked in the firm's contact management system database, Junxure. Generally, client phone conversations are summarized and logged and email communication, both to and from the firm, are archived in the Junxure database and reviewed regularly by Timothy McFadden in his capacity as Chief Compliance Officer. Timothy McMullan, James Cook and Timothy McFadden act as the Firm's investment committee, reviewing the Firm's products, trading and fund selection. Correspondence, advertising, presentations and web sites are reviewed for compliance purposes by Timothy McFadden. Any of the individuals above can be reached at (203) 504-8850.