

# Form ADV – Part 2B: Investment Advisory Team Members

## Brochure Supplement

### July 16, 2016

#### **Education and Business Standards:**

*J.P. King Advisors, Inc.* generally requires advisors in its employ to have a bachelor's degree and further coursework demonstrating knowledge of financial planning and tax planning. Examples of acceptable coursework include but are not limited to: MS, MA, or MBA degree; CFP®, CFA, ChFC, JD, EA, or CPA (or enrollment in a course of study to achieve such designations). Additionally, advisors must have work experience that demonstrates their aptitude for financial planning and investment management. In some cases, extensive work experience may substitute for educational training. All CFP® advisors also attend continuing professional education sessions of no less than thirty hours during each two year renewal period. All *JPKA* advisors must have a commitment to our investment approach and demonstrate a strong commitment to and belief in their fiduciary responsibility to our firm and all our clients.

#### **Professional Certifications of Our Advisors:**

Advisors in our firm have earned certifications and credentials that are explained in further detail below:

- (1) **CERTIFIED FINANCIAL PLANNER Professional™ (CFP®)**: The designation CERTIFIED FINANCIAL PLANNING Professional™ (also CERTIFIED FINANCIAL PLANNER Practitioner™) indicates an individual is licensed by the CFP Board to use the CFP® mark. CFP® certification requirements include:
  - a. Bachelor's Degree from an accredited college or university
  - b. Completion of the financial planning education requirements set by the CFP Board ([www.cfp.net](http://www.cfp.net))
  - c. Successful completion of the CFP® Certification Examination
  - d. Completion of three years of qualifying full-time work experience
  - e. Successfully pass the Candidate Fitness Standards and background check
  - f. Fulfill minimum thirty hours of continuing professional education during every two year renewal period (including an Ethics course requirement each period)
- (2) **Certified Public Accountant (CPA)**: Certified Public Accountants are licensed by the California State Board of Accountancy. CPA licensing requirements include:
  - a. Bachelor's Degree from an accredited college or university, or have equivalent education or work experience with a minimum of twenty-four semester units in accounting and twenty-four semester units in business and business-related subjects
  - b. Successful completion of the Uniform CPA Examination
  - c. One to two years of general accounting experience supervised by a CPA with an active license
  - d. Pass an Ethics Course and Examination before attaining license
  - e. Fulfill minimum eighty hours of continuing professional education during every two year renewal period (including at least twenty hours of CPE in each of the two renewal years plus an Ethics Course Requirement each period)
  - f. Fulfill state accounting society requirements (which vary by state)
  - g. Adhere to the standards of the accounting profession

Detailed information about the backgrounds and experience of each of the firm's investment advisors begins on page 2 of this Brochure Supplement.

## **James P. King, BA, MBA, CFP®**

**Date of Birth:** August 25, 1946

**Educational Background:**

BA, Stanford University, California, 1969

MBA, Stanford University, California 1977

CFP® designation, College for Financial Planning, 1984

Life, Health & Variable Contracts licenses from the States of California and Washington

**Business Experience:**

1977 to 1978: Crocker Bank, International Banking Officer

1978 to 1979: Peat, Marwick, Mitchell & Co., Management Consultant

1979 to 1981: Equitec Financial Group, Inc., Branch Manager

1981 to 1982: Owner and Founder, J.P. King Financial Advisors (a sole proprietorship)

1981 to 2015: Investment Architects, Inc., Registered Representative

1982 to 1985: Founder and President, J.P. King Financial Advisors, Inc. (an incorporated business)

1985 to 1988: Founder and President, J.P. King & Associates, Inc. (corporation name change)

1988 to 2007: Founder & President, J.P. King & Associates (business form changed from corporation to proprietorship; dissolution of the corporation on December 29, 1988)

2007 to present: President, CEO and COO of J.P. King Advisors, Inc. (the business was reincorporated on January 1, 2007).

**Disciplinary Information:** None

**Other Business Activities:**

James P. King has been a Managing Member, along with his wife, Lili Pratt King, of *The Rest of Your Life Institute, LLC* (hereinafter *ROYL*) since November 2009. *ROYL* offers seminars, workshops, and individual consultations for individuals and couples within five years of retirement to help them plan for their retirement years. Additionally, James P. King is licensed in the state of California to sell insurance products. A potential conflict of interest exists as JPKA may receive insurance commissions in addition to investment advisory fees. Clients are under no obligation to purchase insurance products from James P. King.

**Additional Compensation:**

Tuition is charged by *ROYL* for workshops. Mr. King receives indirect compensation in the form of net profits from the activities of *ROYL*.

## **Scott N. Horton, BS, MS, CFP®**

**Date of birth:** May 19, 1972

**Educational Background:**

BS, Managerial Economics, University of California at Davis, 1995

MS, Finance, Golden Gate University, California 2000

Graduate Certificate in Financial Planning, Golden Gate University, 2000

CFP® designation, College for Financial Planning, 2001

FINRA Series 63 and 65 – Investment Adviser Rep., CRD #2666018

Life, Health & Variable Contracts licenses from the State of California

**Business Experience:**

1995 to 1996: Morgan Stanley Dean Witter, Account Executive

1996 to 2008: Fidelity Investments, Private Client Group, Vice President, Sr. Account Executive

2008 to 2014: Investment Architects, Inc., Registered Representative

2008 to present: J.P. King Advisors, Inc., Principal and Lead Financial Advisor

**Disciplinary Information:** None

**Other Business Activities:** Scott N. Horton is licensed in the state of California to sell insurance products. A potential conflict of interest exists as JPKA may receive customary insurance commissions in addition to investment advisory fees. Clients are under no obligation to purchase insurance products from Scott.

**Additional Compensation:** None

**Supervision:**

Scott N. Horton is supervised by James P. King, CFP®, Founder and President of our firm. He reviews Scott's work through frequent office interactions as well as remote interactions. Mr. King also reviews Scott's activities through our client relationship management system, our email system, weekly team meetings, and trading logs.

Supervisor James P. King's contact information: Phone (925) 935-1555 or email [jim@jpkingadvisors.com](mailto:jim@jpkingadvisors.com)

### ***Justin W. Dodson, BS***

**Date of birth:** June 23, 1974

**Educational Background:**

BS, Business Administration/Finance, Sonoma State University, California, 2000

FINRA Series 66 – Investment Adviser Rep., CRD #4217330

Life, Health & Variable Contracts licenses from the States of California and Georgia

**Business Experience:**

2000 to 2002: PaineWebber and Company, Financial Advisor

2002 to 2003: MetLife Securities, Inc., Financial Planner

2003 to 2012: Fidelity Investments, Private Client Group, Vice President, Sr. Account Executive

2012 to 2014: Investment Architects, Inc., Registered Representative

2012 to present: J.P. King Advisors, Inc., Financial Advisor

**Disciplinary Information:** None

**Other Business Activities:** Justin W. Dodson is licensed in the state of California to sell insurance products. A potential conflict of interest exists as JPKA may receive customary insurance commissions in addition to investment advisory fees. Clients are under no obligation to purchase insurance products from Justin.

**Additional Compensation:** None

**Supervision:**

Justin W. Dodson is supervised by James P. King, CFP®, Founder and President of our firm. He reviews Justin's work through frequent office interactions as well as remote interactions. Mr. King also reviews Justin's activities through our client relationship management system, our email system, weekly team meetings, and trading logs.

Supervisor James P. King's contact information: Phone (925) 935-1555 or email [jim@jpkingadvisors.com](mailto:jim@jpkingadvisors.com)

## ***Olivia Moore-Jones, BS***

**Date of birth:** November 11, 1951

**Educational Background:**

BS, Business Administration/Accounting, San Diego State University, California, 1981  
FINRA Series 66 – Investment Adviser Rep., CRD #4333796

**Business Experience:**

2001 to 2006: IDS Life Insurance Company, Financial Advisor  
2001 to 2006: American Express Financial Advisors, Financial Advisor  
2006 to 2014: Cannon Beach Consultants, Inc., Principal, Financial & Business Consultant  
2014 to present: J.P. King Advisors, Inc., Financial Advisor

**Disciplinary Information:** None

**Other Business Activities:** None.

**Additional Compensation:** None

**Supervision:**

Olivia Moore-Jones is supervised by James P. King, CFP®, Founder and President of our firm. He reviews Olivia's work through frequent office interactions as well as remote interactions. Mr. King also reviews Olivia's activities through our client relationship management system, our email system, weekly team meetings, and trading logs.

Supervisor James P. King's contact information: Phone (925) 935-1555 or email [jim@jpkingadvisors.com](mailto:jim@jpkingadvisors.com)

## ***Jessica L. Schafer, BS, CFP®***

**Date of Birth:** February 6, 1987

**Educational Background:**

BS, Business Administration, California State University, East Bay, 2009  
CFP® designation, College for Financial Planning, 2013

**Business Experience:**

2002 to 2009: Steve Sauer, CFP®, Assistant  
Jan. – July 2009: American Investors Company, Registered Representative  
2009 to 2010: Alamo Capital, Operations Assistant  
2010 to 2016: American Investors Company, Registered Representative, Advisory Affiliate  
2016 to present: J.P. King Advisors, Inc., Financial Advisor

**Disciplinary Information:** None

**Other Business Activities:** Jessica L. Schafer is licensed in the state of California to sell insurance products. A potential conflict of interest exists as JPKA may receive customary insurance commissions in addition to investment advisory fees. Clients are under no obligation to purchase insurance products from Jessica.

**Additional Compensation:** None

**Supervision:**

Jessica L. Schafer is supervised by James P. King, CFP®, Founder and President of our firm. He reviews Jessica's work through frequent office interactions as well as remote interactions. Mr. King also reviews Jessica's activities through our client relationship management system, our email system, weekly team meetings, and trading logs.

Supervisor James P. King's contact information: Phone (925) 935-1555 or email [jim@jpkingadvisors.com](mailto:jim@jpkingadvisors.com)

***Nancy R. Gire, BA, MA, CPA, MS, CFP®***

**Date of Birth:** January 17, 1948

**Educational Background:**

BA, Philosophical Psychology, University of Chicago, 1969

MA, Special Education, Chicago State University, 1975

CPA license, State of California, 1994

MS, Taxation, Golden Gate University, 1995

CFP® designation, 1999

**Business Experience:**

1987 to 1993: Armanino LLP, Senior Tax Specialist

1993 to present: Founder and Owner, Nancy Gire, CPA, Tax & Financial Advisory Services

1995 to 2006: Strategic Advisory Services, Inc., Vice President and Senior Financial Advisor

2008 to present: J.P. King Advisors, Inc., Director of Operations & Senior Financial Advisor

**Disciplinary Information:** None

**Other Business Activities:**

Nancy R. Gire, CPA does tax preparation for a small group of less than thirty clients; she has performed tax planning and preparation for these clients as a sole proprietor since 1993.

**Additional Compensation:**

Nancy earns hourly fees of \$50-\$250 per hour for tax planning and preparation services as described above. Such compensation is no more than \$7,000 annually for this part time activity.

**Supervision:**

Nancy R. Gire is supervised by James P. King, CFP®, Founder and President of our firm. He reviews Nancy's work through frequent office interactions as well as remote interactions. Mr. King also reviews Nancy's activities through our client relationship management system, our email system, weekly team meetings, and trading logs.

Supervisor James P. King's contact information: Phone (925) 935-1555 or email [jim@jpkingadvisors.com](mailto:jim@jpkingadvisors.com)