

Form ADV – Part 2B: Investment Advisory Team Members

Brochure Supplement

March 31, 2017

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

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

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

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

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

2007 to 2016: J.P. King Advisors, Inc., (the business was reincorporated on January 1, 2007), President, CEO, and COO

2017 to present: J.P. King Advisors, Inc., Founder and Chairman

Disciplinary Information: None

Other Business Activities:

James P. King is licensed in the states of California and Washington 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: None

Supervision:

James P. King is supervised by Justin W. Dodson, Principal, COO, and CCO (Chief Compliance Officer) of our Firm. He reviews Jim's work through frequent office interactions as well as remote interactions. Mr. Dodson also reviews Jim's activities through our client relationship management system, our email system, and weekly team meetings. Supervisor Justin W. Dodson's contact information: Phone (925) 935-1555 or email justin@jpkkingadvisors.com

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

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 2016: J.P. King Advisors, Inc., Principal and Lead Financial Advisor
2017 to present: J.P. King Advisors, Inc., President, CEO, and CIO

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 Justin W. Dodson, Principal, COO, and CCO (Chief Compliance Officer) of our Firm. He reviews Scott's work through frequent office interactions as well as remote interactions. Mr. Dodson also reviews Scott's activities through our client relationship management system, our email system, weekly team meetings, and trading logs. Supervisor Justin W. Dodson's contact information: Phone (925) 935-1555 or email justin@jpkkingadvisors.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 2016: J.P. King Advisors, Inc., Financial Advisor
2017 to present: J.P. King Advisors, Inc., Principal, COO, and CCO

Disciplinary Information: None

Other Business Activities: Justin W. Dodson is licensed in the states of California and Georgia 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 Scott Horton, CFP®, President, CEO, and CIO of our firm. He reviews Justin's work through frequent office interactions as well as remote interactions. Mr. Horton also reviews Justin's activities through our client relationship management system, our email system, weekly team meetings, and trading logs. Supervisor Scott N. Horton's contact information: Phone (925) 935-1555 or email scott@jpkkingadvisors.com

Olivia Moore-Jones, BS

Date of birth: November 11, 1951

Educational Background:

BS, Business Administration/Accounting, San Diego State University, California, 1981

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 Justin W. Dodson, Principal, COO, and CCO (Chief Compliance Officer) of our Firm. He reviews Olivia's work through frequent office interactions as well as remote interactions. Mr. Dodson also reviews Olivia's activities through our client relationship management system, our email system, weekly team meetings, and trading logs. Supervisor Justin W. Dodson's contact information: Phone (925) 935-1555 or email justin@jpkkingadvisors.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

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

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 Justin W. Dodson, Principal, COO, and CCO (Chief Compliance Officer) of our Firm. He reviews Jessica's work through frequent office interactions as well as remote interactions. Mr. Dodson also reviews Jessica's activities through our client relationship management system, our email system, weekly team meetings, and trading logs. Supervisor Justin W. Dodson's contact information: Phone (925) 935-1555 or email justin@jpkkingadvisors.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: Nancy Gire, CPA, Tax & Financial Advisory Services, Founder and Owner
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 Justin W. Dodson, Principal, COO, and CCO (Chief Compliance Officer) of our Firm. He reviews Nancy's work through frequent office interactions as well as remote interactions. Mr. Dodson also reviews Nancy's activities through our client relationship management system, our email system, and weekly team meetings. Supervisor Justin W. Dodson's contact information: Phone (925) 935-1555 or email justin@jpkingadvisors.com