

**Cruise Financial Organization,  
Cruise Financial Planning,  
& Cruise Investment Advisors, Ltd.**

55 Green Farms Road

Westport, CT 06880

203-221-0202 / 656-0033

Website: [www.cruisefinancial.com](http://www.cruisefinancial.com)

**FORM ADV PART 2B – Brochure Supplement**

December 31, 2017

**James S. H. Cruice, Jr.**

**This brochure supplement provides information about James S. H. Cruice, Jr. that supplements the Cruise Financial Organization, Cruise Financial Planning & Cruise Investment Advisors, Ltd. brochure. You should have received a copy of that brochure. Please contact James S. H. Cruice, Jr., Chief Compliance Officer, at (203) 221-0202 or [jay@cruisefinancial.com](mailto:jay@cruisefinancial.com) if you did not receive the Cruise Financial Organization, Cruise Financial Planning & Cruise Investment Advisors, Ltd. brochure or if you have any questions about the contents of this supplement.**

## Item 2. Educational Background and Business Experience

### *Education Background:*

- University of Pennsylvania, Philadelphia, Pa: BA 1976;
- The Wharton School, Philadelphia, Pa: BS 1976;
- The Colgate Darden Graduate School of Business at the University of Virginia, Charlottesville, VA: MBA 1981;

### *Professional Designations:*

- Certified Financial Planner [CFP®], 1984;

- Minimum Qualifications:

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 71,000 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 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.

- Chartered Life Underwriter [CLU], 1985;
  - Minimum Qualifications: The Chartered Life Underwriter is issued by the American College and is granted to individuals who have at least three years of full-time business experience within the five years preceding the awarding of the designation. Individuals must complete five core courses and three elective courses. Each course has a final proctored exam. Candidates must also meet ethics standards and agree to comply with the American College Code of Ethics and Procedures. Candidates matriculating after June 30, 1989 who fall into specified categories are also required to earn 30 hours of continuing education credits every two years.
- Chartered Financial Consultant [ChFC], 1985;
  - Minimum Qualifications: The Chartered Financial Consultant (ChFC®) designation is issued by the American College and is granted to individuals who have at least three years of full-time business experience within the five years preceding the awarding of the designation. The candidate is required to take seven mandatory courses as well as two elective courses. Each course has a final proctored exam and once issued, the individual is required to submit 30 hours of continuing education every two years.
- Certified Fund Specialist [CFS], 1995
  - Minimum Qualifications: The Certified Fund Specialist designation is issued by the Institute of Business & Finance. To earn this designation, candidates must have at least 2,000 hours of work experience in the financial services industry or a bachelor's degree from an accredited college or university. Candidates must complete a self-study program that consists of six modules and then take three proctored online exams and perform one case study. Individuals must also perform 30 hours of continuing education every two years.

*Business Background [Since 1987]:*

- President of Cruice Financial Organization/ Cruice Investment Advisors, Ltd. / Cruice Financial Planning 1987 to Present;
- Registered Representative for Westport Resources Investment Services 1997 to 12-2017;
- Registered Representative for United Planners Financial Services 12-2017 to Present;
- Series 7, Series 63, Series 65, Series 24, and Insurance licensed [Life & Health].

Mr. Cruice was born in 1953.

### **Item 3. Disciplinary Information**

None. There have never been any client or regulatory complaints filed against Mr. Cruice.

### **Item 4. Other Business Activities**

Until December of 2017, Mr. Cruice has been a registered broker-dealer representative of Westport Resources Investment Services [WRIS], a SEC-registered broker-dealer and FINRA member. Because Westport Resources Investment Services, Inc. is ceasing broker-dealer operations on or about the end of December 2017, Mr. Cruice is affiliating with United Planners Financial Services in December 2017 as a Registered Principal and Registered Representative.

### **Item 5. Additional Compensation**

Mr. Cruice has an equity ownership interest in C.F.O. and its affiliated entities through which he indirectly receives a portion of the investment and financial advisory fees made to C.F.O. and its affiliates for services performed in part by Mr. Cruice.

As previously mentioned in “Item 4” above, Mr. Cruice and the C.F.O. advisory management team are affiliating with United Planners because WRIS is ceasing broker-dealer operations on or about the end of December 2017 after a successful 20-year period serving as C.F.O.’s bridge and trading/ servicing link to CFO’s designated brokerage account custodian. In careful preparation for a possible closure of WRIS as the broker-dealer and bridge to Pershing LLC, Mr. Cruice and the C.F.O. advisory management team have spent countless hours over the last eighteen months researching and identifying United Planners as the successor broker-dealer to WRIS. Most importantly, United Planners enables the Mr. Cruice and the other C.F.O. advisors to maintain the critical safety benefits from having Pershing LLC continue to serve as the custodian for the C.F.O. clients’ brokerage accounts. To help [partially] offset the hard costs incurred by Mr. Cruice and the other C.F.O. advisors from the closure of WRIS and having to transition their client accounts to a successor broker-dealer, United Planners is providing Mr. Cruice with a forgivable loan of \$75,000 that is potentially interest free and non-recourse. These transition costs include, but are not just limited to, the reprinting of new business cards, letterhead and brochures; the material and labor costs for generating all the transfer paperwork and for the related distribution costs such as postage; the costs for updating websites, computer hardware and software to be compatible and compliant with United Planners.

The loan will be forgiven by United Planners based upon the amount of commissions and/ or advisory fees paid to Mr. Cruice and C.F.O. while affiliated with United Planners and by using any of the qualified third-party custodians, such as Pershing LLC, approved by United Planners. These types of loan arrangements can create the potential for a conflict of interest because Mr. Cruice may have an incentive to direct C.F.O. client accounts to United Planners due to self-serving interests from the actual or anticipated incentives or consideration he may receive. The disclosure of the reality of this potentially self-serving, conflict of interest notwithstanding, Mr. Cruice and the other members of the C.F.O. management team are transferring their client accounts to United Planners because [1] WRIS is being closed, and [2] After 18 months of thorough due diligence research, Mr. Cruice and the other C.F.O. advisors have concluded that their clients will benefit in at least three critical ways from having United Planners replace WRIS as the broker-dealer and as C.F.O.’s critical bridge to Pershing: (1) United Planners is a dynamic, financially strong and growing broker-dealer with a national presence; (2) United Planners will provide a higher quality level of broker-dealer services to Mr. Cruice and the other C.F.O.

advisors; and (3) The enhanced level of service provided by United Planners to the C.F.O. advisors, in turn, will also translate into the delivery of more cost-effective financial and investment advisory services to their C.F.O. clients. In summary, Mr. Cruice and the other C.F.O. advisors believe that their selection of United Planners is in the best interest of their C.F.O. clients based on the overall benefits of an integrated platform for both brokerage and advisory account services as well as the other quality financial services provided by United Planners.

## **Item 6. Supervision**

As described above under Item 2, Mr. Cruice is the President of C.F.O.

Mr. Cruice does not have a supervisor with respect to his advisory activities, but he is subject to C.F.O.'s compliance policies and procedures and Code of Ethics with respect to such activities.

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**FORM ADV PART 2B – Brochure Supplement**

December 31, 2017

**Nancy M. Blackwell**

**This brochure supplement provides information about Nancy M. Blackwell that supplements the Cruice Financial Organization, Cruice Financial Planning & Cruice Investment Advisors, Ltd. brochure. You should have received a copy of that brochure. Please contact James S. H. Cruice, Jr., Chief Compliance Officer, at (203) 221-0202 or [jay@cruicefinancial.com](mailto:jay@cruicefinancial.com) if you did not receive the Cruice Financial Organization, Cruice Financial Planning & Cruice Investment Advisors, Ltd. brochure or if you have any questions about the contents of this supplement.**

## Item 2. Educational Background and Business Experience

### *Education Background:*

- Drexel University, Philadelphia, Pa: BS Finance 1989
- Associate in Reinsurance, Are, 1993
- Certified Financial Planner [CFP®], 2009
- Minimum Qualifications:

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 71,000 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 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.

*Business Background [Since 1991]:*

- Certified Financial Planner for Cruice Financial Organization, 2008 to Present;
- Investment Advisor Representative [IAR] and Financial Advisor for Westport Resources Management Services, Inc. 2005 to 2008;
- Investment Advisor Representative [IAR] and Financial Advisor for Cruice Financial Organization 2008 until Present;
- Registered Representative for Westport Resources Investment Services, Inc. 2005 to 12-2017;
- Registered Representative for United Planners Financial Services 12-2017 to Present;
- Reinsurance Broker and Casualty Underwriter for General Reinsurance Corporation, 1991 to 1999;
- Series 7, Series 63, Series 65, and Insurance licensed [Life & Health].

Ms. Blackwell was born in 1960.

### **Item 3. Disciplinary Information**

None.

### **Item 4. Other Business Activities**

Until December of 2017, Ms. Blackwell has been a Registered Representative of Westport Resources Investment Services (WRIS), an SEC-registered broker-dealer and FINRA member. Ms. Blackwell does not receive any compensation from WRIS based on the sale of securities or other investment productions.

### **Item 5. Additional Compensation**

Ms. Blackwell has an equity ownership interest in C.F.O. and its affiliated entities through which she indirectly receives a portion of the investment advisory fees made to C.F.O. and its affiliates for services performed in part by Ms. Blackwell.

### **Item 6. Supervision**

As described above under Item 2, Ms. Blackwell is a Financial Planning Advisor for C.F.O.

James S. H. Cruice, Jr., the President of C.F.O., is responsible for supervising Ms. Blackwell's advisory activities. Mr. Cruice can be contacted at (203) 221-0202.



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**FORM ADV PART 2B – Brochure Supplement**

December 31, 2017

**Timothy G. C. Tymniak**

**This brochure supplement provides information about Timothy G. C. Tymniak that supplements the Cruice Financial Organization, Cruice Financial Planning & Cruice Investment Advisors, Ltd. brochure. You should have received a copy of that brochure. Please contact James S. H. Cruice, Jr., Chief Compliance Officer, at (203) 221-0202 or [jay@cruicefinancial.com](mailto:jay@cruicefinancial.com) if you did not receive the Cruice Financial Organization, Cruice Financial Planning & Cruice Investment Advisors, Ltd. brochure or if you have any questions about the contents of this supplement.**

## **Item 2. Educational Background and Business Experience**

Education:

- Fairfield College Preparatory School, Fairfield, CT: 2001;
- Fairfield University, Fairfield, CT: BA Business Communications, Minor Sociology 2006;
- Certified Fund Specialist [CFS], 2009;
  - Minimum Qualifications: The Certified Fund Specialist designation is issued by the Institute of Business & Finance. To earn this designation, candidates must have at least 2,000 hours of work experience in the financial services industry or a bachelor's degree from an accredited college or university. Candidates must complete a self-study program that consists of six modules and then take three proctored online exams and perform one case study. Individuals must also perform 30 hours of continuing education every two years.

Business Background [Since 2006]:

- Cruice Financial Organization 2006 to Present;
- Assistant Representative for Westport Resources Investment Services, Inc., 2007 to December 2017;
- Assistant Representative for United Planners Financial Services, December 2017 to Present;
- Series 11, Series 66

Mr. Tymniak was born in 1982.

## **Item 3. Disciplinary Information**

None.

## **Item 4. Other Business Activities**

Mr. Tymniak has been associated with Westport Resources Investment Services (WRIS), an SEC-registered broker-dealer and FINRA member, as an Assistant Representative-Order Processor. Mr. Tymniak does not receive any compensation from WRIS based on the sale of securities or other investment productions.

## **Item 5. Additional Compensation**

Mr. Tymniak has an equity ownership interest in C.F.O. and its affiliated entities through which he indirectly receives a portion of the investment advisory fees made to C.F.O. and its affiliates for services performed in part by Mr. Tymniak.

## **Item 6. Supervision**

| As described above under Item 2, Mr. Tymniak is the Investment, Research & Operations Manager -of C.F.O. James S. H. Cruice, Jr., the President of C.F.O., is responsible for supervising Mr. Tymniak's advisory activities. Mr. Cruice can be contacted at (203) 221-0202.

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**FORM ADV PART 2B – Brochure Supplement**

December 31, 2017

**William O. Webster, Jr.**

**This brochure supplement provides information about William O. Webster, Jr. that supplements the Cruice Financial Organization, Cruice Financial Planning & Cruice Investment Advisors, Ltd. brochure. You should have received a copy of that brochure. Please contact James S. H. Cruice, Jr., Chief Compliance Officer, at (203) 221-0202 or [jay@cruicefinancial.com](mailto:jay@cruicefinancial.com) if you did not receive the Cruice Financial Organization, Cruice Financial Planning & Cruice Investment Advisors, Ltd. brochure or if you have any questions about the contents of this supplement.**

## Item 2. Educational Background and Business Experience

### Education:

- Dartmouth College, Hanover, NH: BA, 1965
- New York University Stern School of Business, New York, NY: MBA, 1971

### Professional Designations:

- Certified Financial Planner [CFP®], 1979

- Minimum Qualifications:

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 71,000 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 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.

#### Business Background [Since 2006]:

- Cruice Financial Organization, Registered Investment Adviser Representative and Senior Vice President of Investments, 1-2017 to Present;
- Registered Representative for United Planners Financial Services 12-2017 to Present;
- Registered Representative and Senior Vice President of Investments, Westport Resources Investment Services, Inc., 2010 to 12-2017;
- Westport Resources Management Inc. Registered Investment Adviser Representative, 2010 to December 2016;
- Morgan Stanley Smith Barney, 2009 to 2010;
- Morgan Stanley & Co. Incorporated, 2008 to 2010;
- UBS Financial Services Inc., 1972 to 2008;
- Series 63, Series 65, Series 8, Series 1, AMEX Put and Call Exam

Mr. Webster was born in **1943**.

### **Item 3. Disciplinary Information**

There are no legal or disciplinary events presumptively material to a client's or prospective client's evaluation of Mr. Webster's integrity. Mr. Webster's disciplinary history is available through the FINRA BrokerCheck system, [www.finra.org/brokercheck](http://www.finra.org/brokercheck) and the SEC's Investment Adviser Public Disclosure system, [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

### **Item 4. Other Business Activities**

Until December of 2017, Mr. Webster has been a Registered Representative of Westport Resources Investment Services [WRIS], a SEC-registered broker-dealer and FINRA member. Because Westport Resources Investment Services, Inc. is ceasing broker-dealer operations on or about the end of December 2017, Mr. Webster is affiliating with United Planners Financial Services in December 2017 as a Registered Representative.

Mr. Webster was associated with Westport Resources Management Inc., a Registered Investment Advisor with the SEC until December of 2016, as a Registered Investment Advisor Representative before affiliating with the Cruice Financial Organization as a Registered Investment Advisor Representative and a Senior Vice President of Investments in January of 2017.

## **Item 5. Additional Compensation**

As previously mentioned in “Item 4” above, Mr. Webster and the C.F.O. advisory management team are affiliating with United Planners because WRIS is ceasing broker-dealer operations on or about the end of December 2017. In careful preparation for a possible closure of WRIS as the broker-dealer and bridge to Pershing LLC, the C.F.O. advisory management team has spent the last eighteen months researching and identifying United Planners as the successor broker-dealer to WRIS. Most importantly, United Planners enables the Mr. Webster and the other C.F.O. advisors to maintain the critical safety benefits from having Pershing LLC continue to serve as the custodian for the C.F.O. clients’ brokerage accounts. To help [partially] offset the hard costs incurred by Mr. Webster and the other C.F.O. advisors from the closure of WRIS and having to transition their client accounts to a successor broker-dealer, United Planners is providing Mr. Webster with a forgivable loan of \$30,000 that is potentially interest free and non-recourse. These transition costs include, but are not just limited to, the reprinting of new business cards, letterhead and brochures; the material and labor costs for generating all the transfer paperwork and for the related distribution costs such as postage; the costs for updating websites, computer hardware and software to be compatible and compliant with United Planners.

The loan will be forgiven by United Planners based upon the amount of commissions and/ or advisory fees paid to Mr. Webster while affiliated with United Planners and by using any of the qualified third-party custodians, such as Pershing LLC, approved by United Planners. These types of loan arrangements can create the potential for a conflict of interest because Mr. Webster may have an incentive to direct his client accounts to United Planners due to self-serving interests from the actual or anticipated incentives or consideration he may receive. The disclosure of the reality of this potentially self-serving, conflict of interest notwithstanding, Mr. Webster and the other members of the C.F.O. management team are transferring their client accounts to United Planners because [1] WRIS is being closed, and [2] After 18 months of thorough due diligence research, Mr. Webster and the other C.F.O. advisors have concluded that their clients will benefit in at least three critical ways from having United Planners replace WRIS as the broker-dealer and as C.F.O.’s critical bridge to Pershing: (1) United Planners is a dynamic, financially strong and growing broker-dealer with a national presence; (2) United Planners will provide a higher quality level of broker-dealer services to Mr. Webster and the other C.F.O. advisors; and (3) The enhanced level of service provided by United Planners to the C.F.O. advisors, in turn, will also translate into the delivery of more cost-effective financial and investment advisory services to their C.F.O. clients. In summary, Mr. Webster and the other C.F.O. advisors believe that their selection of United Planners is in the best interest of their C.F.O. clients based on the overall benefits of an integrated platform for both brokerage and advisory account services as well as the other quality financial services provided by United Planners.

## **Item 6. Supervision**

As described above under Item 2, Mr. Webster is a Registered Investment Adviser Representative of C.F.O.

James S. H. Cruice, Jr., the President of C.F.O., is responsible for supervising Mr. Webster’s advisory activities. Mr. Cruice can be contacted at (203) 221-0202.

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**FORM ADV PART 2B – Brochure Supplement**

December 31, 2017

**Paul Harper Daimler**

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## **Item 2. Educational Background and Business Experience**

Education:

- University of North Carolina, Chapel Hill, NC

Business Background [Since 2006]:

- Westport Resources Management Inc. Registered Investment Adviser Representative, 2005 to 12-2016;
- Cruice Financial Organization, Registered Investment Adviser Representative and Senior Vice President of Investments, 1-2017 to Present;
- Registered Representative for Westport Resources Investment Services, Inc., Senior Vice President of Investments, 2005 to 12-2017;
- Registered Representative for United Planners Financial Services, 12-2017 to Present;
- Series 63, Series 65, Series 8, Series 7

Mr. Daimler was born in 1947.

## **Item 3. Disciplinary Information**

None.

## **Item 4. Other Business Activities**

Mr. Daimler was associated with Westport Resources Investment Services [WRIS], an SEC-registered broker-dealer and FINRA member, as a Registered Representative and Senior Vice President of Investments before affiliating with United Planners Financial Services in December 2017.

Mr. Daimler was associated with Westport Resources Management Inc., a Registered Investment Advisor with the SEC until December of 2016, as a Registered Investment Advisor Representative before affiliating with the Cruice Financial Organization as a Registered Investment Advisor Representative and a Senior Vice President of Investments in January of 2017.

## **Item 5. Additional Compensation**

None.

## **Item 6. Supervision**

As described above under Item 2, Mr. Daimler is a Registered Investment Adviser Representative of C.F.O.

James S. H. Cruice, Jr., the President of C.F.O., is responsible for supervising Mr. Daimler's advisory activities. Mr. Cruice can be contacted at (203) 221-0202.

