

FORM ADV PART 2B BROCHURE SUPPLEMENT

Michael D. Chochon

Item 1 – Cover Page

Michael D. Chochon
Sequent Planning, LLC
8420 West Dodge Road, Suite 110
Omaha, Nebraska 68114
402-953-3544
www.sequentplanning.com
Date of Supplement: August 2018

This brochure supplement provides information about Michael D. Chochon that supplements the Sequent Planning, LLC (“Sequent”) disclosure brochure. You should have received a copy of that brochure. Please contact Michael D. Chochon at 402-953-3544 or at mike@sequentplanning.com if you did not receive Sequent’s brochure or if you have any questions about the contents of this supplement.

Additional information about Michael D. Chochon is available on the SEC’s website at www.adviserinfo.sec.gov.

Item 2 – Educational Background and Business Experience

Michael D. Chochon

09/1968
CRD # 3203736

Post Secondary Educational Background:

University of Nebraska at Lincoln, Bachelor of Science in Accounting: 1990
San Jose State, Participated in Master's in Tax program, Dates Attended: 08/1992 to 05/1993
(no degree conferred)
Previous examinations earned but not active: CPA, Series 3, 4, 7, 24, 27

Business Background:

Sequent Planning, LLC, Chief Compliance Officer, 10/2017 to Present
Sequent Planning, LLC, Vice President, 07/2017 to Present
Sequent Planning, LLC, Investment Advisor Representative, 05/2017 to Present
Senior Market Sales, Inc., Director of Strategic Projects, 01/2017 to Present
PrairieSmarts LLC, Co-Founder, 05/2012 to Present
Apex Clearing Corporation, CFO & FINOP, 06/2012 to 04/2013
Penson Worldwide, Inc., CFO, 04/2012 to 06/2012
CFO Systems, LLC, Consultant, 09/2011 to 03/2012
Unemployed, 04/2011 to 08/2011
TD Ameritrade, Treasurer, Managing Director Trading and Risk, 04/2006 to 04/2011

Item 3 – Disciplinary Information

A criminal or civil action in a domestic, foreign or military court of competent jurisdiction:

We do not have anything to report for this item.

An administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority:

We do not have anything to report for this item.

A self-regulatory organization proceeding:

We do not have anything to report for this item.

Item 4 – Other Business Activities

Michael D. Chochon is a co-founder of PrairieSmarts LLC, a start-up company that provides a risk tool for the financial services industry. In January 2017, the “SmartRisk” technology was acquired by Covisum LLC, a subsidiary of Senior Market Sales, LLC that focuses primarily on financial technology. Michael D. Chochon spends approximately 0% - 5% of his time per month on this activity.

Michael D. Chochon is the Director of Strategic Projects at Senior Market Sales, LLC. In this role he helps SMS decide the strategic allocation of resources. His role at Sequent is a strategic focus for SMS. Michael D. Chochon spends approximately 0% - 10% of his time per month on this activity.

Item 5 – Additional Compensation

In his role as Vice President, Chief Compliance Officer and Investment Adviser Representative at Sequent, there may be opportunities for Michael D. Chochon to receive additional economic benefits.

Certain product sponsors may provide Michael D. Chochon with other economic benefits as a result of his recommendation or sale of the product sponsors’ investments. The economic benefits from product sponsors could include but are not limited to, financial assistance or the sponsorship of conferences and educational sessions, marketing support, incentive awards, payment of travel expenses, and tools to assist Michael D. Chochon in providing various services to clients.

Sequent and Michael D. Chochon endeavor at all times to put the interest of its clients ahead of its own or those of its officers, directors, or representatives (“affiliated persons”). If Mr. Chochon were to receive additional economic benefits from a product sponsor (or any other entity), such benefits could affect his judgment. These types of situations could present a conflict of interest that may affect the judgment of affiliated persons including Michael D. Chochon.

Item 6 – Supervision

Michael D. Chochon is the Chief Compliance Officer of Sequent. He is responsible for overseeing and enforcing the firm’s compliance programs that have been established to monitor and supervise the activities and services provided by the firm and its representatives. Michael D. Chochon can be contacted at 402-953-3544.

Item 7 – Requirements for State-Registered Advisers

Mr. Chochon was involved in an arbitration with a former employer. In February 2014, the arbitrator found that Mr. Chochon made statements as a former employee which were disparaging and as a result breached a separation and release agreement executed in April 2011 between Mr. Chochon and the former employer. The arbitrator issued an award which allowed the former employer to recover certain severance benefits previously received by Mr. Chochon.

Mr. Chochon has not been the subject of a bankruptcy petition.

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