



# CUSTOS

## FAMILY OFFICE

AUSTIN · DENVER

### **Custos Family Office**

44 Cook St Suite 700  
Denver, CO 80206  
303-536-5315

### **Anthony M. Lopiccolo**

44 Cook St Suite 700  
Denver, CO 80206  
303-536-5315

### **2B Supplemental Brochure**

July 2018

The Brochure Supplement provides information about Anthony Lopiccolo (CRD#5331964) that supplements the Custos Family Office Brochure. You should have received a copy of the Brochure. Please contact the Chief Compliance Officer at 303-536-5315 or [chase@custosfo.com](mailto:chase@custosfo.com) if you did not receive Custos Family Office's Brochure or if you have any questions about the contents of this supplement.

Additional information about Anthony Lopiccolo is available on the SEC's website at [SEC Adviser Info](#). You can search this site by a unique identifying number, known as the CRD number listed above.

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## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

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### **Anthony M. Lopiccolo**

Born: 1980

Post-Secondary Education:

- United State Air Force Academy, BS Business Management, 2003; UCLA Anderson, MBA, Finance, 2008
- Insurance Licenses in Life, Accident & Health
- Certified Financial Analyst (CFA®)<sup>1</sup> - Received in 2015

Recent Business Experience:

- *Custos Family Office*, Investment Advisor Representative & Co-Owner, 04/2018 – Present
- *JP Morgan*, ED, 03/2013 – 04/2018
- *Diamondback Capital*, Trader, 04/2012 – 12/2012
- *Morgan Stanley*, Associate, 01/2010 – 03/2012
- *Barclay Investments*, Associate, 06/2009 – 01/2010

**1\* Minimum Requirements for Certified Financial Analyst (CFA®)**

Chartered Financial Analysts are licensed by the CFA® Institute to use the CFA® mark. CFA® certification requirements:

- Hold a bachelor's degree from an accredited institution or have equivalent education or work experience
- Successful completion of all three exam levels of the CFA Program
- Have 48 months of acceptable professional work experience in the investment decision-making process
- Fulfill society requirements, which vary by society. Unless you are upgrading from affiliate membership, all societies require two sponsor statements as part of each application; these are submitted online by your sponsors
- Agree to adhere to and sign the Member's Agreement, a Professional Conduct Statement, and any additional documentation requested by CFA® Institute

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## ITEM 3 - DISCIPLINARY INFORMATION

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Anthony Lopiccolo has no history of any legal or disciplinary events that deems to be material to a client's consideration of Anthony Lopiccolo to act as their investment adviser representative. FINRA's BrokerCheck® may have additional information regarding the disciplinary history of Anthony Lopiccolo that is not included in this brochure supplement. ([SEC Adviser Info](#)).

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#### **ITEM 4 - OTHER BUSINESS ACTIVITIES**

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Anthony Lopiccolo is not involved in outside business activities beyond the scope of his role at Custos Family Office.

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#### **ITEM 5 - ADDITIONAL COMPENSATION**

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Anthony Lopiccolo does not receive any economic benefit for providing advisory services beyond the scope of Custos Family Office and business activities listed in **Item 4**.

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#### **ITEM 6 - SUPERVISION**

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Anthony Lopiccolo is supervised through a compliance program designed to prevent and detect violations of the federal and state securities laws. Supervision is conducted by the Chief Compliance Officer, Chase Rodawig, who is responsible for administering the policies and procedures. Chase Rodawig reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation. All policies and procedures of the firm are followed.

**Chase Rodawig contact information:**

Chief Compliance Officer  
303-536-5315

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#### **ITEM 7 - REQUIREMENTS FOR STATE-REGISTERED ADVISERS**

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Anthony Lopiccolo has not been involved in or found liable in an arbitration claim or civil, self-regulatory organization or administrative proceeding alleging damages in excess of \$2,500, involving an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Anthony Lopiccolo has not been the subject of a bankruptcy petition. To the best of our ability all material conflicts of interest are disclosed regarding the Firm, its representatives or any of its employees, which could be reasonably expected to impair the rendering of unbiased and objective advice.