

Item 1: Cover Page

Geoffrey D. LaRoche



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This brochure supplement provides information about Geoffrey D. LaRoche (hereinafter, "Geoffrey" or "Geoff") that supplements the Preis Financial brochure. You should have received a copy of that brochure. Please contact Michael Preisz or Geoff if you did not receive our brochure or if you have any questions about the contents of this supplement.

Additional information about Geoffrey LaRoche is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You can search this site by a unique identifying number, known as a CRD number. The CRD number for Geoff is 4650867.

**Note:** Throughout this document, Preis Financial and any of its associated Investment Advisor Representatives may be termed "the firm," "we," "us," or "our." The client or prospective client may be referred to as "client," "you," "your," etc.

**Item 2: Educational Background and Business Experience**

Geoffrey D. LaRoche, MBA, Investment Adviser Representative

Year of Birth: 1964

**Education:**

B.A. Engineering, Lafayette College, 1987

M.B.A. Portland State University, 1995

**Professional Registrations:****General Industry/Product Exams:**

Securities Industry Essentials Exam	SIE	10/01/2018
General Securities Representative Exam	Series 7	05/14/2003

**State Securities Law Exams:**

Uniform Investment Advisor Law Exam	Series 65	05/29/2003
Uniform Securities Agent State Law Exam	Series 63	05/22/2003

**Registered Agent for securities in the following states:**

CA, CO, GA, OR, TX, WA	01/11/2013
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**Business Background:**

PREISZ Financial, *Investment Advisor Representative*, from 2013 to present

LPL Financial, *Registered Representative*, from 2013 to present

Ameriprise Financial Services, Inc., *Financial Advisor*, 2009 – 2012

Smith Barney/Citigroup Global Markets, Inc., *Financial Advisor*, 2003 – 2009

**Item 3: Disciplinary Information**

None.

**Item 4: Other Business Activities**

Geoffrey is a registered securities representative with LPL Financial (hereinafter, "LPL"), an unaffiliated registered broker-dealer, member of the Financial Industry Regulatory Authority ("FINRA") and SIPC and SEC-registered investment adviser. In addition, Geoffrey is an insurance agent/broker with various insurance companies. In these capacities, Geoffrey may recommend securities, insurance, advisory, or other products, and receive normal transactions commissions if products are purchased through any firms with which he is affiliated.

Geoffrey's other business activities include serving as a Board Member for the Rose City Cemetery & Funeral Home as well as serving as a committee member for Cub Scout Pack 353.

Some of these non-Preis activities present a potential conflict of interest, to the extent that Geoffrey may receive additional compensation as a result of recommending additional brokerage, insurance and advisory products and services to clients.

Our firm has developed policies and procedures to monitor and mitigate these conflicts of interest. A summary of our policies can be found in Items 5 and 10 of our firm's Form ADV Part 2A.

**Item 5: Additional Compensation**

Geoffrey does not receive any additional compensation from third parties for providing investment advice to its clients. However, product companies (including our affiliates) with which we have agreements work with the firm and our investment advisor representatives to provide education and other support to help distribute their products. These companies may pay for training and education events, seminars or other similar events for employees, investment advisors, clients and prospective clients. They may also reimburse expenses for due diligence meetings or occasionally provide business or recreational entertainment. These fees, as well as incentive programs and cash and/or noncash compensation, are all strictly regulated by the SEC and Financial Industry Regulatory Authority (FINRA).

**Item 6: Supervision**

Michael Preisz is responsible for all employee and advisor supervision, compliance with policies and procedures, and general business strategy of the firm. He can be reached at (503) 224-1600. Michael Preisz, Carol Bethune, Robert Beswick, Geoffrey LaRoche, Thomas Davenport and William Preisz are responsible for formulation and monitoring of investment advice offered to client, documenting investment-meeting deliberations, overseeing all material investment policy changes, and conducting periodic testing to ensure that client objectives and mandates are being met. Michael reviews all employee personal securities transactions on a quarterly basis.