

**Roger Tran**

**Grove Advisors LLC**

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**March 28, 2019**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Roger Tran that supplements the Grove Advisors LLC brochure. You should have received a copy of that brochure. Contact us at 650-427-0338 if you did not receive Grove Advisors LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Roger Tran is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

**Roger Tran**

*Year of Birth: 1983*

### *Formal Education After High School:*

- University of California, Berkeley – Certificate in Personal Financial Planning, CFP Education Requirements – 2012-2016
- University of California, Davis – Bachelor's degree, International Relations and World Trade and Development – 2001-2006

### *Business Background:*

- Grove Advisors LLC, Financial Planner, 3/2019 - Present
- Ginsburg Financial Advisors, Inc., Associate Financial Planner, 09/2017-03/2019
- Wells Fargo, Business Banking Administrative Manager, 10/2015-09/2017
- Wells Fargo, Associate Vice President, Business Online Banking Supervisor II, 09/2011-10/2015
- Wells Fargo, Business Online Banking Lead, 08/2007-12/2011

### *Professional Designations, Licensing & Exams:*

- CFP (Certified Financial Planner)®: The Certified Financial Planner and federally registered CFP (collectively, the "CFP marks") are professional certification marks granted in the United States by the Certified Financial Planner Board of Standards, Inc. CFP certificants must have a minimum of three years' workplace experience in financial planning and develop their theoretical and practical financial planning knowledge by completing a comprehensive course of study approved by CFP Board. They must pass a comprehensive two day, 10-hour CFP® Certification Examination that tests their ability to apply financial planning knowledge in an integrated format. As a final step to certification, CFP practitioners agree to abide by a strict code of professional conduct.

## Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Roger Tran has no required disclosures under this item.

## Item 4 Other Business Activities

Roger Tran is not registered and does not have an application pending to register as (i) a broker-dealer or registered representative of a broker-dealer, or (ii) futures commission merchant, commodity pool operator, commodity trading advisor, or an associated person of any of the foregoing.

## Item 5 Additional Compensation

Roger Tran does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services.

## **Item 6 Supervision**

Christopher Richard Doyle, Chief Compliance Officer, is responsible for supervising the advisory activities of Roger Tran. Christopher Richard Doyle can be reached at 650-427-0338.

In the supervision of our associated persons, advice provided is based on the restrictions set by Grove Advisors LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.

## **Item 7 Requirements for State Registered Advisers**

Roger Tran does not have any reportable arbitration claims, has not been found liable in a reportable civil, self-regulatory organization or administrative proceeding, and has not been the subject of a bankruptcy petition.