

**Legacy Asset Management, Inc.**  
**Form ADV Part 2B**  
**Investment Adviser Brochure Supplement**

Supervisor's Name: Joseph Birkofer

Supervised Persons:

Richard Kaplan

Scott Jackson

Jillian Nel

Charles D Hamblin

Mark Dulworth

March 31, 2017

This brochure supplement provides information about the Firm's Supervised Persons that supplements the Legacy Asset Management, Inc.'s brochure. You should have received a copy of that brochure. Please contact Joseph Birkofer, Chief Compliance Officer, if you did not receive Legacy Asset Management, Inc.'s brochure or if you have any questions about the contents of this supplement.

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

Legacy Asset Management, Inc.  
3411 Richmond, Suite 750  
Houston, TX 77046  
(713) 355-7171  
[www.legacyasset.com](http://www.legacyasset.com)

## **Educational Background and Business Experience**

Legacy Asset Management, Inc. requires that advisers in its employment have a Bachelor's Degree and/or expertise demonstrating knowledge of financial planning and tax planning. Additionally, advisers must have work experience that demonstrates their aptitude for financial planning and investment management.

**Richard E Kaplan**  
**CRD# 2944041**

Born: 1963

### **Education:**

University of Alabama, BS in Business, 1986  
Georgia State University, MBA, 1992

### **Business Background (for preceding 5 years):**

Legacy Asset Management, Inc. 1998 – present  
President

Legacy Asset Securities, Inc. 1999 – present  
Vice President

### **Professional Designations and Licenses:**

Chartered Financial Analyst (CFA®)  
General Securities Representative, Series 7  
General Securities Principal (GP), Series 24  
Uniform Securities Agent State Law, Series 63  
Uniform Investment Advisor Law, Series 65

### **Disciplinary Information**

Not subject to any legal or disciplinary events

**Other Business Activities**

Investments-related business:

**Legacy Asset Securities, Inc.**

1999 – present

Vice President

Registered Representative of Legacy Asset Securities, Inc., a broker dealer and member of the Financial Industry Regulatory Authority (“FINRA”) and Securities Investor Protection Corporation (“SIPC”). He may receive compensation for sales of investment products or other securities through his registration with Legacy Asset Securities, Inc.

**Additional Compensation**

None

**Supervision**

As President and Co-Owner of Legacy Asset Management, Inc., Mr. Kaplan is supervised by Joseph Birkofer, Vice President and Chief Compliance Officer of Legacy Asset Management, Inc. Mr. Birkofer can be reached by phone at (713) 355-7171 or by email at [jbirkofer@legacyasset.com](mailto:jbirkofer@legacyasset.com).

**Joseph R Birkofer**

Born: 1961

**CRD# 2553233**

**Education:**

Georgetown University, BS in Political Science, 1983

University of Texas, MBA Finance, 1991

**Business Background (for preceding 5 years):**

Legacy Asset Management, Inc.

1998 - present

Vice President

Legacy Asset Securities, Inc.

1999 – present

President

**Professional Designations and Licenses:**

Certified Financial Planner (CFP®)  
Accredited Investment Fiduciary® (AIF®)  
General Securities Principal (GP), Series 24  
Uniform Securities Agent State Law, Series 63  
Uniform Investment Advisor Law, Series 65  
General Securities Representative, Series 7  
Introducing Broker/Dealer Financial and Operations Principal, Series 28  
General Lines Insurance Agent, State of Texas

**Disciplinary Information**

Not subject to any legal or disciplinary events

**Other Business Activities**

Investments-related business:

**Legacy Asset Securities, Inc.** 1999 - present

President

Registered Representative of Legacy Asset Securities, Inc., a broker dealer and member of the Financial Industry Regulatory Authority ("FINRA") and Securities Investor Protection Corporation ("SIPC"). He may receive compensation for sales of investment products or other securities through his registration with Legacy Asset Securities, Inc.

**Additional Compensation**

None

**Supervision**

As Vice President and Co-Owner of Legacy Asset Management, Inc., Mr. Birkofer is supervised by Richard Kaplan, President and Co-Owner of Legacy Asset Management, Inc. Mr. Kaplan can be reached by phone at (713) 355-7171 or by email at rkaplan@legacyasset.com.

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**Scott Jackson**  
**CRD# 5602182**

Born: 1979

**Education:**

University of Texas at Austin, BA in Economics, 2002  
University of Houston, MBA, 2009

**Business Background (for preceding 5 years):**

Legacy Asset Management, Inc. 2012 - present  
Investment Adviser Representative /Portfolio Manager

**Professional Designations and Licenses:**

Uniform Investment Advisor Law, Series 65

**Disciplinary Information**

Not subject to any legal or disciplinary events

**Other Business Activities**

Investments-related business:

Scott is not engaged in any other investment related business, and does not receive compensation in connection with any business activity outside of LAMI.

**Additional Compensation**

None

**Supervision**

Supervised by Joseph Birkofer, Vice President and Chief Compliance Officer of Legacy Asset Management, Inc. Mr. Birkofer can be reached by phone at (713) 355-7171 or by email at [jbirkofer@legacyasset.com](mailto:jbirkofer@legacyasset.com).

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**Jillian Nel**  
**CRD# 5055280**

Born: 1978

**Education:**

University of Colorado at Boulder  
Leeds School of Business, BS in Business Administration, 2001  
Rice University, CFP®, 2011

**Business Background (for preceding 5 years):**

Legacy Asset Management, Inc. 2011 - present  
Investment Adviser Representative

Legacy Asset Securities, Inc. 2011 - present  
Certified Financial Planner (CFP®)

**Professional Designations and Licenses:**

Certified Financial Planner (CFP®)  
Certified Divorced Financial Analyst (CDFA)  
General Securities Representative, Series 7  
Uniform Combined State Law, Series 66  
General Securities Principal (GP), Series 24  
General Lines Insurance Agent, State of Texas

**Disciplinary Information**

Not subject to any legal or disciplinary events

**Other Business Activities**

Investments-related business:

**Legacy Asset Securities, Inc.** 2011 – present  
Certified Financial Planner (CFP®)

Registered Representative of Legacy Asset Securities, Inc., a broker dealer and member of the Financial Industry Regulatory Authority (“FINRA”) and Securities Investor Protection Corporation (“SIPC”). She may receive compensation for sales of investment products or other securities through her registration with Legacy Asset Securities, Inc.

**Additional Compensation**

None

**Supervision**

Supervised by Joseph Birkofer, Vice President and Chief Compliance Officer of Legacy Asset Management, Inc. Mr. Birkofer can be reached by phone at (713) 355-7171 or by email at jbirkofer@legacyasset.com.

**Dennis Hamblin**  
**CRD# 1132329**

Born: 1950

**Education:**

Lamar University

**Business Background (for preceding 5 years):**

Legacy Asset Management, Inc. Investment Adviser Representative	2003 - present
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Legacy Asset Securities, Inc. Registered Representative	2003 - present
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First Allied Securities Pension Sales	2000 - 2003
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Manulife Financial Pension Sales Wholesale	1997 - 2000
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Hamblin & Associates Third Party Administrator	1987 - 1997
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**Professional Designations and Licenses:**

Mutual Fund and Annuity Representative, Series 6  
Uniform Securities Agent State Law, Series 63

**Disciplinary Information**

Not subject to any legal or disciplinary events

**Other Business Activities**

Investments-related business:

**Legacy Asset Securities, Inc.**

2003 - present

Registered Representative

Registered Representative of Legacy Asset Securities, Inc., a broker dealer and member of the Financial Industry Regulatory Authority ("FINRA") and Securities Investor Protection Corporation ("SIPC"). He may receive compensation for sales of investment products or other securities through his registration with Legacy Asset Securities, Inc.

**Additional Compensation**

None

**Supervision**

Supervised by Joseph Birkofer, Vice President and Chief Compliance Officer of Legacy Asset Management, Inc. Mr. Birkofer can be reached by phone at (713) 355-7171 or by email at [jbirkofer@legacyasset.com](mailto:jbirkofer@legacyasset.com).

**Mark Dulworth**

Born: 1955

**CRD# 5002877**

**Education:**

University of Notre Dame, BA General Program of Liberal Studies, 1977  
St. John's College, MA, Liberal Arts, 1985

**Business Background (for preceding 5 years):**

Dulworth & Company, Inc.  
Chief Executive Officer



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Legacy Asset Securities, Inc. 2010- present  
Registered Representative

Legacy Asset Management, Inc. 2004 – present  
Investment Adviser Representative

**Professional Designations and Licenses:**

Mutual Fund and Annuity Representative, Series 6  
Uniform Investment Advisor Law, Series 65  
General Lines Insurance Agent, State of Texas

**Disciplinary Information**

Not subject to any legal or disciplinary events

**Other Business Activities**

Investments-related business:

**Legacy Asset Securities, Inc.**  
Registered Representative

Registered Representative of Legacy Asset Securities, Inc., a broker dealer and member of the Financial Industry Regulatory Authority (“FINRA”) and Securities Investor Protection Corporation (“SIPC”). He may receive compensation for sales of investment products or other securities through his registration with Legacy Asset Securities, Inc.

**Dulworth & Company Inc.**  
President & Chief Executive Officer

CEO of an independent financial and insurance services organization. Mark is paid W-2 compensation for his position as Chief Executive Officer. As owner, Mark also shares in the firm’s profits.

**Legacy Asset Management, Inc.**  
Investment Adviser Representative

Investment adviser representative of Legacy Asset Management, Inc., a SEC Registered Investment Adviser and unaffiliated investment advisory firm. Mark is

eligible to receive normal investment advisory fees associated with management

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of assets placed within the adviser’s programs and/or financial planning and consulting fees.

**Additional Compensation:**

None

**Supervision**

Supervised by Joseph Birkofer, Vice President and Chief Compliance Officer of Legacy Asset Management, Inc. Mr. Birkofer can be reached by phone at (713) 355-7171 or by email at jbirkofer@legacyasset.com.

**Professional Certifications**

Legacy Asset Management, Inc.’s supervised persons maintain professional designations:

**CFP® - Certified Financial Planner**

**Issued by:** Certified Financial Planner Board of Standards, Inc.

**Prerequisites/Experience Required:** Candidate must meet the following requirements:

- A bachelor’s degree (or higher) from an accredited college or university, and
- 3 years of full-time personal financial planning experience

**Educational Requirements:** Candidate must complete a CFP®-board registered program, or hold one of the following:

- Certified Public Accountant (CPA)
- Chartered Financial Consultant (ChFC®)
- Chartered Life Underwriter (CLU)
- Chartered Financial Analyst (CFA)
- Accredited Investment Fiduciary® (AIF®)
- Ph.D. in Business or Economics
- Doctor of Business Administration
- Attorney's License

**Examination Type:** CFP® Certification Examination

**Continuing Education/Experience Requirements:** 30 hours every 2 years