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This brochure supplement provides information about James Dwyer that supplements our Firm Brochure. Please contact us if you did not receive that brochure or if you have any questions about the contents of this supplement.

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

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## ITEM 2: EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**James Daniel Dwyer, CFP®** | *Year of Birth: 1976*

**Educational Background:**

- 1999; Arizona State University; B.S. – Finance

**Business Background:**

- 06/2013 – Present; Providus Advisors, LLC; Financial Advisor/Principal
- 10/2009 – 06/2013; Merrill Lynch, Pierce, Fenner & Smith; Financial Advisor/Vice President
- 05/2000 – 10/2009; Banc of America Investment Services; Financial Advisor

**Exams, Licenses & Other Professional Designations:**

- 07/2000 – Series 63
- 12/2000 – Series 7
- 04/2002 – Series 65
- 09/2006 – CFP® - Certified Financial Planner™
- 05/2013 – AIF® - Accredited Investment Fiduciary®
- Life, Health, and Disability Insurance Agent

The **CERTIFIED FINANCIAL PLANNER™**, **CFP®** and federally registered CFP marks are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold the CFP® certification. It is recognized in the United States and a number of other countries for its high standard of professional education, stringent code of conduct and standards of practice and ethical requirements that govern professional engagements with clients.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements: Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor’s Degree from a regionally accredited United States college or university (or its equivalent from a foreign university, pass the comprehensive CFP® Certification Examination, Complete at least three years of full-time financial planning-related experience and agree to be bound by CFP Board’s *Standards of Professional Conduct*.

Individuals who become certified must complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial industry and renew an agreement to be bound by the *Standards of Professional Conduct*. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

The **Accredited Investment Fiduciary®**, **AIF®** designation certifies that the recipient has specialized knowledge of fiduciary standards of care and their application to the investment management process. To receive the AIF designation, individuals must complete a training program, successfully pass a comprehensive, closed-book final examination under the supervision of a proctor and agree to abide by the AIF Code of Ethics. In order to maintain the AIF designation, the individual must annually renew their affirmation of the AIF Code of Ethics and complete six hours of continuing education credits. The certification is administered by the Center for Fiduciary Studies, LLC (a Fiduciary360 (fi360) company).

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#### ITEM 3: DISCIPLINARY INFORMATION

There are no legal or disciplinary events material to your evaluation of James Dwyer.

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#### ITEM 4: OTHER BUSINESS ACTIVITIES

James Dwyer has no outside business activities to disclose.

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#### ITEM 5: ADDITIONAL COMPENSATION

James Dwyer does not receive any economic benefits for providing advisory services outside of his normal salary.

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#### ITEM 6: SUPERVISION

Michael McGinley is a principal of Providus Advisors, LLC and as such supervises and monitors James Dwyer's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Michael if you have any questions about James Dwyer's brochure supplement at (480) 704-3024.