

# CHRIS L. JONES ChFC<sup>®</sup>, CLU<sup>®</sup>

This brochure provides supplemental information about Chris L. Jones, ChFC<sup>®</sup>, CLU<sup>®</sup> (“Investment Advisor Representative”, “IAR” or “Employee”) that supplements the Wealth RESCue Strategies, Inc. brochure, which should have also been provided to you. Please contact Chris L. Jones, ChFC<sup>®</sup>, CLU<sup>®</sup> at Wealth RESCue Strategies, Inc. if you need the Wealth RESCue Strategies, Inc. brochure or if you have any questions.

Additional information about Wealth RESCue Strategies, Inc. is also available at the SEC’s website [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) (under “investment adviser firm” and type in our firm name).

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WEALTH RESCUE STRATEGIES, INC.  
7817 HERSCHEL AVENUE, LA JOLLA, CALIFORNIA 92037  
CHRIS@WEALTHRESCUE.COM  
(858) 456-4848



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## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Chris L. Jones, ChFC<sup>®</sup>, CLU<sup>®</sup>**

Year Born: 1950

### **Educational Background:**

M.S.F.S., Financial Services – The American College (1982)

### **Business Background:**

09/1995 – Present: *President*, Wealth RESCue Strategies, Inc.

01/1980 – Present: *President & Agent*, LJ Financial Insurance Services, Corp.

04/1969 – Present: *Owner*, Chris L. Jones (Sole Proprietorship)

### **Professional Qualifications:**

Series 1, Registered Representative Examination (1973)

Series 24, General Securities Principal Examination (1986)

Series 63, Uniform Securities Agent Laws (1996)

Series 65, Uniform Investment Adviser Law Examination (1999)

### **Professional Designation:**

Chartered Financial Consultant (ChFC<sup>®</sup>)

Chartered Life Underwriter (CLU<sup>®</sup>)

### **Explanations of Designations:**

ChFC<sup>®</sup>: (Chartered Financial Consultant)

This designation is a professional designation representing completion of a comprehensive course consisting of financial education, examinations and practical experience. Chartered Financial Consultant designations are granted by The American College upon completion of seven required courses and two elective courses. Those who earn the designation are understood to be knowledgeable in financial matters and to have the ability to provide sound advice.

In order to be considered for the program, the applicant must already have a minimum of three years working in the financial industry. In addition, it is recommended that applicants have a degree related to finance or business before applying as it will make the program much easier.

## CLU®: (Chartered Life Underwriter)

To receive the CLU® designation, you must successfully complete all courses in your selected program, meet experience requirements and ethics standards, and agree to comply with The American College Code of Ethics and Procedures.

Three years of full-time business experience is required for all Huebner School designations. The three-year period must be within the five years preceding the date of the award. An undergraduate or graduate degree from an accredited educational institution qualifies as one year of business experience. Part-time qualifying business experience is credited toward the three-year requirement on an hourly basis, with 2,000 hours representing the equivalent of one year full-time experience. The following activities meet the required business experience qualifications included in the CLU® certification process.

### *Insurance and Health Care:*

- Field underwriting and management, including sales and service activities, supervision and management of persons involved in sales or services, or staff support of persons in these activities.
- Company management and operations in positions involving substantial responsibility.

### *Financial Services and Employee Benefits:*

- Client service and related management, including direct contact with clients, supervision and management of persons involved directly in the process of providing financial services or employee benefits, or staff support of persons in these activities.
- Financial institution management and operations in positions involving substantial responsibility.

### *Other:*

- University or college teaching of subjects related to the Huebner School curriculum on a full-time basis at an accredited institution of higher education.
- Government regulatory service in a responsible administrative, supervisory, or operational capacity.
- Activities directly or indirectly related to the protection, accumulation, conservation, or distribution of the economic value of human life; these include the work of actuaries, attorneys, CPAs, investment advisers, real estate investment advisers, stockbrokers, trust officers, or persons in other similar occupations

### *Code of Ethics*

To underscore the importance of ethics standards for Huebner School designations, the Board of Trustees adopted a Code of Ethics in 1984. Embodied in the Code are the Professional Pledge and eight Canons.

### *Insurance and Health Care*

"In all my professional relationships, I pledge myself to the following rule of ethical conduct: I shall, in light of all conditions surrounding those I serve, which I shall make every conscientious effort to ascertain and understand, render that service which, in the same circumstances, I would apply to myself."

### *The Canons*

- I. Conduct yourself at all times with honor and dignity.
- II. Avoid practices that would bring dishonor upon your profession or The American College.
- III. Publicize your achievements in ways that enhance the integrity of your profession.
- IV. Continue your studies throughout your working life so as to maintain a high level of professional competence.
- V. Do your utmost to attain a distinguished record of professional service.
- VI. Support the established institutions and organizations concerned with the integrity of your profession.
- VII. Participate in building your profession by encouraging and providing appropriate assistance to qualified persons pursuing professional studies.
- VIII. Comply with all laws and regulations, particularly as they relate to professional and business activities.

### *Continuing Education*

All CLU®s who matriculated after June 30, 1989 are subject to the PACE Recertification Program. If you are a CLU® who falls into any of the following specified categories, you are required to earn 30 hours of CE credit every two years:

- Licensed insurance agent/broker/consultant
- Licensed security representative/registered investment advisor
- Financial consultant, attorney, accountant, employee benefits specialist, and any other individual who provides insurance, employee benefits, financial planning, or estate planning advice and counsel to the public

## **ITEM 3 - DISCIPLINARY INFORMATION**

Chris L. Jones, ChFC®, CLU® has no legal or disciplinary events that are material to a Client's or prospective Client's evaluation of this advisory business.

## ITEM 4 - OTHER BUSINESS ACTIVITIES

The principal business of Advisor is that of a registered investment advisor and provider of financial planning services. Chris L. Jones, ChFC®, CLU® is also a licensed insurance agent and pension consultant. When acting in the capacity of either, Chris L. Jones, ChFC®, CLU® may receive the usual and customary commissions or fees on the products the Client purchases. Receiving commissions on products may cause a conflict of interest. Therefore, the advisory Client is free to select any insurance company or pension advisor the client desires for implementation of Advisor's recommendations.

As well, Chris L. Jones, ChFC®, CLU® engages in the following:

- Target Benefits Group: owner & sole proprietor. It is an insurance and corporate employee benefit planning business that started in 1991.
- Special Trustee, Ltd.: President. It is special trustee services, non-custodial services for charitable trustees business that started in 1996. Corporation owners: 33% Chris L. Jones, ChFC®, CLU®, 33% Daniel H. O'Connell and 33% John F. Patzman, AEP®, CFP®, CLU®.
- La Jolla Capital Partners, LLP: General Partner as Trustee. It is a family trust-investments (personal) business that started in 2002
- Ivanhoe Coastal Properties, LLC: Member as Trustee. It is LLC ownership of a commercial real estate building.

## ITEM 5 - ADDITIONAL COMPENSATION

Other than work with Wealth RESCue Strategies, Inc. and any disclosures made in Items 2 and 4 above, Chris L. Jones, ChFC®, CLU® receives no additional compensation related to outside business activities.

## ITEM 6 – SUPERVISION

Chris L. Jones, ChFC®, CLU® is the sole managing member of Wealth RESCue Strategies, Inc. and is the supervising authority.

## ITEM 7 - REQUIREMENTS FOR STATE-REGISTERED ADVISERS

*State securities authorities require this disclosure and it is provided to you for evaluating this investment advisor representative's suitability.*

Chris L. Jones, ChFC®, CLU® has never been found liable in arbitration or liable in a civil, self-regulatory organization, or administrative proceeding 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. Chris L. Jones, ChFC®, CLU® has never been the subject of a bankruptcy petition.