



SUPPLEMENTAL  
INFORMATION  
May 21, 2018

**Part 2B of Form ADV  
Brochure Supplement**

Professional Backgrounds of:

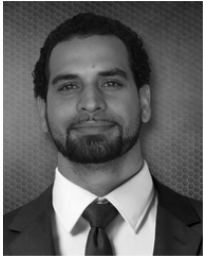
Christopher K Lopez, **MPM**®, **AFA**®CRD #6475110 (Partner-CCO/CIO, Principal Advisor)

Forrest A. Jones, CRD #4880765 (Partner-Investment Advisor Representative)

This brochure supplement provides information about the qualifications of the above named Knight Nguyen Investments advisory professionals. This is a supplement to the Knight Nguyen Investments brochure (Form ADV, Part 2A). Please contact the firm's Chief Compliance Officer, Christopher Knight Lopez at 888-894-3878, or via email to [chris@knightinvestments.org](mailto:chris@knightinvestments.org), if you have any questions about this supplement.

Additional information about any of the individuals named above is available on the SEC's website at [www.advisorinfo.sec.gov](http://www.advisorinfo.sec.gov).

## Professional Biographies



Christopher Knight Lopez, [MPM®](#), [AFA®](#)

Chief Compliance Officer (CCO)/Chief Investment Officer (CIO), Partner

Education: Bachelor's Degree: Project Management & Administration

Industry Qualifications: Series 65

Experience: Partner, Knight Nguyen, 04/2015 to Present; AML Compliance Officer, Fidelis Capital Investments Ltd (New Zealand) 06/2013 to 02/2015; President, FranTech Florida, 01/2011 to 06/2013; Portfolio Manager, Purest Water, 03/2009 to 03/2011; Board of Trustee, Knight Investments, 07/2006 to Present; USAF Reserves 07/2004 to 07/2010

Designations: Master Project Manager, Accredited Financial Analyst

Born: 1985

Contact Information: [chris@knightinvestments.org](mailto:chris@knightinvestments.org) +1 888-894-3878

### Disciplinary Information

Mr. Lopez was named in a civil complaint, docket #6:15-CV-00205-ACC-TBS only as a result of employment with another firm. The matter is now settled under a confidentiality agreements. Any client questions should be directed to Mr. Christopher Lopez.

The Firm's management person is currently a plaintiff in a civil complaint, docket #16-DCV-231670. This is an action brought by Knight Nguyen Investments ("KNI") to collect outstanding fees owed by a customer. On September 19, 2016, the court entered a final judgment in this matter. The matter is currently in a collection state to enforce judgment. Any client questions should be directed to Mr. Christopher Lopez.

The Firm's management person was named in a civil complaint, docket #16CV19509. This case arises from a financial fraud perpetrated by an Oregon lawyer against his own client, KNI and its management's family members. Robert Custis, a licensed Oregon lawyer, represented Plaintiff David Rosencrantz in a series of financial transactions involving a Liberian diamond and gold mine enterprise from 2010 to 2017, and ultimately convinced him to invest over \$ 2 million in the scam. Mr Lopez was identified as a victim in the criminal justice system under Victim Identification Number (VIN) 5236106 and was defrauded out of personal and family assets in 2016 by the defendants that are currently incarcerated. Mr Lopez did not solicit any client funds or direct any client proceeds into this transaction. Mr Lopez participated only with family assets. The matter is now settled under a confidentiality agreement. Any client questions should be directed to Mr. Christopher Lopez.

The Firm's management person was named in a civil complaint, docket #2:17-CV-00719. This case arises from a former client of the Firm in which the Firm was awarded a judgment against in civil complaint, docket #16-DCV-231670. After the Firm terminated its relationship and sued the Defendant Landash Corporation, the Defendant Landash Corporation, utilized draft financials without knowledge of the Firm to induce a loan from a party that experienced a default. KNI was not party to the loan. KNI did not help the defendant solicit the loan taken by the Defendant Landash Corporation. KNI was named as part of a "blanket" or "shotgun" approach where nearly twenty (20) parties are named. The claims center around "negligence" on draft financial statements authored by KNI. KNI



relied upon tax returns, bank statements and financials prepared by a licensed CPA Fox, Byrd & Company, P.C. Litigation is ongoing. KNI denies all liability and all allegations against it. Any client questions should be directed to Mr. Christopher Lopez.

### **Other Business Activities**

Knight Nguyen does have personnel that are in partnership with a Master Financial Planner (MFP) as designated by the American Academy of Finance Management. The scope of this partnership is specifically to trust creation with a focus on Irrevocable Life Insurance Trusts (ILIT). The relationship is with a Texas General Partnership called Knight Advisory & Planning in which the principal partners, including Christopher Knight Lopez are equal partners. Mr. Lopez is the owner of Knight Nguyen Investments. To the extent clients of Knight Nguyen are solicited for services of Knight Advisory & Planning, a conflict of interest exists as Mr. Lopez may receive compensation from his interest in both entities. To mitigate this conflict, clients are made aware of the fees associated with the services of Knight Advisory & Planning in advance of services being rendered.

Christopher Knight Lopez sits on the Board of Trustees for Knight Investments. Knight Investments is a family trust. Advisory clients of Knight Nguyen are not solicited for investment or services related to this entity. Therefore, no conflict of interest exists. Mr. Lopez spends approximately 6 hours per week, on activities related to the trust.

Christopher Knight Lopez is the Chief Investment Officer of Nexion Biosciences Inc. Nexion Biosciences Inc is a life science and agriculture company that is undertaking a listing process on the Bermuda Stock Exchange (BSX). Advisory clients of Knight Nguyen are eligible to invest into Nexion Biosciences Inc; therefore, a conflict of interest exists because of the ability to invest in a company that has a common ownership with Mr. Lopez. All clients that solicit Knight Nguyen for investment in Nexion Biosciences Inc. are required to sign conflict letters that specifically cite the officer role that Christopher Knight Lopez has in both entities. In addition, clients are required to sign indemnification waivers and general releases. Any fees that will be earned as a result of an investment in Nexion Biosciences Inc., clients will be notified, in advance, for the client's approval prior to investing. All clients must sign acknowledgments of any fee arrangement prior to investing. Mr. Lopez spends approximately 4 hours per week, on activities related to the business.

Christopher Knight Lopez is the Chief Investment Officer of Intuitive Products LLC which is a manufacturing and graphics company. Advisory clients of Knight Nguyen are eligible to invest into Intuitive Products LLC; therefore, a conflict of interest exists because of the ability to invest in a company that has a common ownership with Mr. Lopez. All clients that solicit Knight Nguyen for investment in Intuitive Products LLC are required to sign conflict letters that specifically cite the officer role that Christopher Knight Lopez has in both entities. In addition, clients are required to sign indemnification waivers and general releases. Any fees that will be earned as a result of an investment in Intuitive Products LLC, clients will be notified, in advance, for the client's approval prior to investing. All clients must sign acknowledgments of any fee arrangement prior to investing. Mr. Lopez spends approximately 4 hours per week, on activities related to the business.

Christopher Knight Lopez is a minority shareholder of Aevum Holdings Inc. which is a holding company of Mr. Lopez's immediate family member. Advisory clients of Knight Nguyen are eligible to invest into Aevum Holdings Inc; therefore, a conflict of interest exists because of the ability to invest in a company that has a common ownership with Mr. Lopez. All clients that solicit Knight Nguyen for investment are required to sign conflict letters that



specifically cite the relationship Mr. Lopez has in both entities. In addition, clients are required to sign indemnification waivers and general releases. Any fees that will be earned as a result of an investment in Aevum Holdings Inc. clients will be notified, in advance, for the client's approval prior to investing. All clients must sign acknowledgments of any fee arrangement prior to investing. Mr. Lopez spends less than 1 hour per week, on activities related to the business.

Christopher Knight Lopez sits on the Board of Directors for You Control Media Inc. You Control Media Inc is a family business. Advisory clients of Knight Nguyen are not solicited for investment or services related to this entity. Therefore, no conflict of interest exists. Mr. Lopez spends approximately 2 hours per week, on activities related to the business.

### **Additional Compensation**

Mr. Lopez does not receive compensation or other economic benefit from anyone for providing advisory services other than what has been described in the Knight Nguyen Brochure.

### **Supervision**

All firm personnel are monitored and supervised by Christopher Knight Lopez as the Chief Compliance Officer. Supervision is ongoing and includes trade supervision, email monitoring, monitoring of personal trading, periodic performance evaluations, staff meetings and direct communications. The Partners may earn income from other material sources; provided there are not conflicts of interest in performing their duties at Knight Nguyen Investments. Mr. Lopez can be reached at 407-205-2146 for any questions.

### **Requirements for State-Registered Advisers**

There are no reportable events concerning Mr. Lopez nor has he been the subject of a bankruptcy petition.

## **Professional Biographies**



Forrest Andrew Jones, AAMS  
Partner/Investment Advisor Representative

Education: Bachelor of Arts Degree

Industry Qualifications: Series 7, 63, 65, 66, Group 1 Ins. Lisc.

Experience: Partner, Knight Nguyen, 02/2017 to Present; Investment Advisor Representative 02/2017 to Present, Registered Representative, Fortune Financial Services, Inc. 05-2018 to Present, Registered Representative, McNally Financial Services Corporation 3/2016 to 02/2017;; Registered Representative, Metlife Securities Inc, 08/2014 to 02/2016; Registered Representative, Next Financial Group Inc, 04/2014 to 08/2014; Registered Representative, Merrill Lynch, Pierce, Fenner & Smith Incorporated, 11/2011 to 04/2014; Registered Representative, First



Command Financial Planning Inc, 04/2011 to 06/2011; Registered Representative,  
NY Life Securities LLC, 01/2011 to 04/2011; Registered Representative, Summit  
Brokerage Services Inc, 11/2010 to 12/2010; Registered Representative, Edward  
Jones, 01/2005 to 08/2010  
Born: 11/20/1975

Contact Information: [forrest.jones@knightinvestments.com](mailto:forrest.jones@knightinvestments.com) +1 888-894-3878

### **Disciplinary Information**

Mr. Jones was named in a civil complaint, as a result of employment with another firm. The nature of the civil complaint did not relate to investments or investment advice in any way. A civil judgment / lien of \$550 was levied against Mr. Jones. The judgment of \$550 has been satisfied by Mr. Jones. Mr. Jones also settled a financial obligation under a Direct Payment Procedure as a form of compromise. The matter is now settled under a confidentially agreements. Any client questions should be directed to Mr. Forrest Jones.

### **Other Business Activities**

Mr. Jones is also licensed and registered as an insurance agent to sell life, accident and other lines of insurance for various insurance companies. Therefore, he will be able to purchase insurance products for any client in need of such services and will receive separate, yet typical compensation in the form of commissions for the purchase of insurance products. This creates a conflict of interest. A conflict of interest exists because of the receipt of additional compensation by Mr. Jones. Clients are not obligated to use Knight Nguyen or Mr. Jones for insurance products services. However, in such instances, there is no advisory fee associated with these insurance products. Mr. Jones is also the owner of Grace Wealth Advisory. Therefore, he will be able to offer consulting plan products for any client in need of such services and will receive separate, yet typical compensation in the form of standard consultation for non-securities and investment advice related activities. This creates a conflict of interest. A conflict of interest exists because of the receipt of additional compensation by Mr. Jones. Clients are not obligated to use Grace Wealth Advisory or Mr. Jones for consultation products services. However, in such instances, there is no advisory fee associated with these consultation products. Grace Wealth Advisory is not a registered investment advisory firm.

Forrest Jones is also a Registered Representative of a FINRA registered broker-dealer firm, Fortune Financial Services, Inc., CRD #42150, SEC #49727. Clients that use Mr. Jones in the capacity of a Registered Representative will incur transactional costs in addition to the management fee for advisory services. This creates a conflict of interest. Mr. Jones will address this conflict of interest by disclosing to clients prior to initiating any transactional related business that by utilizing him in this capacity clients will incur additional expenses. Those expenses are explained to the client in advance of offering these services. Clients need to be aware they are not required to utilize Mr. Jones in the capacity of a Registered Representative. Clients are free to choose whomever they want to effect securities related transactions. Mr. Jones spends approximately 15 hours per week on this type of activity.

### **Additional Compensation**



Mr. Jones does not receive compensation or other economic benefit from anyone for providing advisory services other than what has been described in the Knight Nguyen Brochure.

## Supervision

All firm personnel are monitored and supervised by Christopher Knight Lopez as the Chief Compliance Officer. Supervision is ongoing and includes trade supervision, email monitoring, monitoring of personal trading, periodic performance evaluations, staff meetings and direct communications. The Partners may earn income from other material sources; provided there are not conflicts of interest in performing their duties at Knight Nguyen Investments. Mr. Lopez can be reached at 407-205-2146 for any questions.

## Professional Designations

### AFA: Accredited Financial Analyst

This is an Accreditation sanctioned by the American Academy of Finance Management (AAFM) and Accredited Financial Analyst Council. The AFA is designed for specialist Financial Analyst professionals; this designation covers specialist financial analyst, valuation, M&A, cost control, management consulting skills. It is for professionals with at least 5 years experience in financial analysis formulation or relevant topics. Annually, each AFA ® charter holder and board certification holder should complete 15 hours or more of **Continuing Education & Development** or CED credits. Contained below is a list of education that counts toward CED credits with the International Academy.

Members may complete one of the below or a combination to fulfill their annual requirements.

1. An AAFM ® Approved AFA ® Annual Congress counts for full CE Credit. This is a Full 2 day event that counts for 15 hours.
2. Attendance of 15 or more hours of approved education for lawyers or CPAs. (2 days of training)
3. Completion of one Law School Online Course [www.llmprogram.org](http://www.llmprogram.org)
4. 15 Hours of executive education from an ACBSP, ABA, or AACSB accredited approved program (i.e. or one full graduate course would count)
5. Attendance at a AAFM ® AFA ® recognized conference
6. Attendance at an event conducted by an AAFM ® AFA ® licensed provider, or
7. Attendance at an in-house program conducted by AAFM ® AFA ® Institute.

### MPM: Master Project Manager

This is an Accreditation sanctioned by the American Academy of Project Management (AAPM) & IPMC International Project Management Commission ™. The MPM is designed by the IPMC which is a Global Graduate Board of Standards ™ offering graduate designations and credentials to Project Managers. To earn



IPMC™ Project Management Certification, applicants are required to submit a resume if with a minimum of 3 years of Project Management Industry experience and a relevant & approved accredited college education or training. Master Project Manager's must show case mastery in project knowledge areas of: initiation, procurement, execution, monitoring & control, quality assurance & control, planning, documentation, closing, integration, financial modeling, & stakeholder analysis.

**AAMS: Accredited Asset Management Specialist**

This designation is offered through the College for Financial Planning and is a professional education program covering the topics of asset management process; risk, return & investment performance; asset allocation & selection; investment strategies; taxation; investing for retirement; deferred compensation and other benefit plans; insurance products; estate planning and fiduciary, ethical and regulatory issues for Advisors. Applicants are required to successfully pass the final exam within six months of enrollment.