

**SUPERVISED PERSON BROCHURE**  
FORM ADV PART 2B

Jerrie K. Carli



Office Address:  
1917 Palomar Oaks Way  
Suite 130  
Carlsbad, CA 92008

Tel: 760-431-3040  
Facsimile: 760-931-5719

[jerrie.carli@financialfocusllc.com](mailto:jerrie.carli@financialfocusllc.com)

This brochure supplement provides information about Jerrie K. Carli and supplements the Financial Focus LLC's brochure. You should have received a copy of that brochure. Please contact Jerrie Carli if you did not receive the brochure or if you have any questions about the contents of this supplement.

Additional information about Jerrie Carli (Individual CRD# 2504055) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)

**FEBRUARY 2, 2017**

## Brochure Supplement (Part 2B of Form ADV)

### Supervised Person Brochure

---

#### Principal Executive Officer

Jerrie K. Carli

- Year of birth: 1958
- 

#### Item 2 Educational Background and Business Experience

Educational Background:

- Northern Arizona University; Studied Accounting; 1978 - 1983

Business Experience:

- Financial Focus LLC; Investment Advisor Representative; 08/2016 – Present
  - National Planning Corporation; Registered Representative; 05/2000 - Present
  - Financial Focus LLC; ParaPlanner; 01/2016 – 08/2016
  - Financial Focus; ParaPlanner; 02/1999 – 12/31/2015
- 

#### Item 3 Disciplinary Information

Criminal or Civil Action: None to report.

Administrative Proceeding: None to report.

Self-Regulatory Organization Proceeding: None to report.

---

#### Item 4 Other Business Activities

Ms. Carli is a registered representative with National Planning Corporation (“NPC”), a registered broker-dealer and Member FINRA/SIPC. She spends about 20% of her time working as a registered representative. Ms. Carli may receive normal and customary commissions as a result of securities transactions.

Ms. Carli is an independent insurance agent. Less than 10% of her time is spent on this activity. From time to time, she offers clients advice or products from this activity. She may receive separate yet typical compensation in the form of commissions for the sale of insurance products.

These practices represent conflicts of interest because it gives an incentive to recommend products based on the commission amount received. This conflict is mitigated disclosures, procedures, and the firm’s Fiduciary obligation to place the best interest of the clients first and clients are not required to purchase any products. Clients have the option to purchase these products through another registered representative, investment advisor and/or insurance agent of their choosing.

---

#### Item 5 Performance Based Fee Description

Ms. Carli receives commission from the sale of securities products, but she does not receive performance based fees.

---

#### Item 6 Supervision

Ms. Carli is supervised by Barbara Williams, Chief Compliance Officer. Barbara Williams reviews Jerrie’s work through client account reviews and quarterly personal transaction reports as well as face-to-face and phone interactions.

Ms. Williams can be contacted either by phone at: (760) 431-3040, or by email at: Barbara.williams@natplan.com.

---

**Item 7 Requirements for State-Registered Advisors**

Arbitration Claims: None to report.

Self-Regulatory Organization or Administrative Proceeding: None to report.

Bankruptcy Petition: None to report.