

**Item 1: Cover Page
Part 2B of Form ADV: Brochure Supplement
May 2017**

Tu Tran



CROSSPOINT FINANCIAL

**17822 East 17th Street, Suite 310
Tustin, CA 92780
www.CrosspointFP.com**

This brochure supplement provides information about Mr. Tran that supplements our brochure. You should have received a copy of that brochure. Please contact Mr. Tran if you did not receive Crosspoint Financial, LLC's brochure or if you have any questions about the contents of this supplement. Additional information about Mr. Tran is available on the SEC's website at www.adviserinfo.sec.gov by searching CRD #2941092.

Item 2: Educational Background & Business Experience

Tu Anh Tran

Year of Birth: 1972

Educational Background:

- 1997: University of California, Los Angeles; Bachelor of Arts in Economics

Business Background:

- 03/2017 – Present Crosspoint Financial, LLC; Chief Compliance Officer, Managing Member & Investment Adviser Representative
- 03/2017 – Present Purshe Kaplan Sterling Investments, Inc.; Registered Representative
- 08/1997 – 03/2017 IDS Life Insurance Company; Insurance Agent
- 08/1997 – 03/2017 Ameriprise Financial Services, Inc.; Financial Advisor

Exams, Licenses & Other Professional Designations:

- 2007: Chartered Retirement Planning Counselor (CRPC®)
- 2000: CERTIFIED FINANCIAL PLANNER, CFP®
- 1999: CA Life Insurance License [Variable Contracts]
- 1998: Series 7, 63, & 65 Examinations
- 1997: CA Life Insurance License [Life-Only & Accident and Health]

The CFP® certification is obtained by completing an advanced college-level course of study addressing the financial planning subject areas that the CFP® Board's studies have determined as necessary for the competent and professional delivery of financial planning services, a comprehensive certification exam and agreeing to be bound by the CFP® board's *Standard of Professional Conduct*. As a prerequisite, the individual must have a Bachelor's degree from a regionally accredited United States college or university (or foreign university equivalent) and have at least 3 years of full time financial planning experience (or equivalent measured at 2,000 hours per year). This designation requires 30 hours of continuing education every 2 years and renewing an agreement to be bound by the *Standards of Professional Conduct*.

The CRPC® is offered by The College for Financial Planning®. The CRPC® Program focuses on the pre- and post-retirement needs of individuals. Enrollment in the program guides you through the retirement process, addressing issues such as estate planning and asset management. The College for Financial Planning® awards the Chartered Retirement Planning CounselorSM and CRPC® designation to students who: successfully complete the program; pass the final examination; and comply with the Code of Ethics, which includes agreeing to abide by the Standards of Professional Conduct promulgated by The College for Financial Planning®. Applicants must also disclose of any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct. Conferment of the designation is contingent upon the College for Financial Planning's review of matters either self-disclosed or which are discovered by the College that are required to be disclosed. Successful students receive a certificate and are granted the right to use the designation on correspondence and business cards for a two-year period. Continued use of the CRPC® designation is subject to ongoing renewal requirements. Every two years individuals must renew their right to continue using the CRPC® designation by: completing 16 hours of continuing education and reaffirming to abide by the

Standards of Professional Conduct, Terms and Conditions, and self-disclose any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct.

Item 3: Disciplinary Information¹

There are no legal or disciplinary events material to the evaluation of Mr. Tran.

Item 4: Other Business Activities

Mr. Tran is a registered representative of Purshe Kaplan Sterling Investments, Inc., member FINRA/SIPC, and licensed insurance agent/broker. He may offer products and receive normal and customary commissions as a result of these transactions. A conflict of interest may arise as these commissionable securities sales may create an incentive to recommend products based on the compensation earned.

Item 5: Additional Compensation

Mr. Tran does not receive any other economic benefit for providing advisory services in addition to advisory fees.

Item 6: Supervision

Mr. Tran is the firm's sole owner and Chief Compliance Officer and has no internal supervision placed over him. He is, however, bound by our firm's Code of Ethics.

Item 7: Requirements for State-Registered Advisers

Mr. Tran has not been involved in any arbitration claim alleging damages in excess of \$2,500. Furthermore, he has neither been involved in nor found liable in any civil, self-regulatory organization, or administrative proceeding nor has been the subject of any bankruptcy petitions.

¹ Note: Our firm may, under certain circumstances, rebut the presumption that a disciplinary event is material. If an event is immaterial, we are not required to disclose it. When we review a legal or disciplinary event involving the advisor to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of advisor to the advisory function; (2) the nature of the infraction that led to the disciplinary event; (3) the severity of the disciplinary sanction; and (4) the time elapsed since the date of the disciplinary event. If we conclude that the materiality presumption has been overcome, we prepare and maintain a file memorandum of our determination in our records. We follow SEC rule 204-2(a)(14)(iii) and similar state rules.