

## **Item 1: Cover Page**

This brochure supplement provides information about Joshua R. Allen that supplements the TCP Asset Management, LLC's firm Brochure. You should have received a copy of that brochure. Please contact Julianne Call, Chief Compliance Officer, if you did not receive TCP Asset Management, LLC's firm Brochure or if you have any questions about the content of this supplement. Additional information about Joshua R. Allen is also available on the Securities and Exchange Commission's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You may also call 614-761-9378 X 402 or send an email to Ms. Call, Chief Compliance Officer, at the following email address: [Julie@TCPasset.com](mailto:Julie@TCPasset.com).

# **TCP Asset Management, LLC**

## **Form ADV, Part 2B – Individual Disclosure Brochure**

for

**Joshua R. Allen CFP®, CRPC®, CRPS®**

Owner and

Investment Advisor Representative

CRD No. 5074710

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Columbus, Ohio 43240

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Date: 04/16/2020

## **Item 2: Educational Background and Business Experience**

**Name:** Joshua R. Allen, CFP®, CRPC®, CRPS®  
**Born:** 1982  
**Title:** Owner and Investment Advisor Representative of TCP Asset Management, LLC

**Education:** Bachelor of Science, Family Resource Management – 2005  
The Ohio State University – Columbus, Ohio

**Examinations / Licenses:** Series 7 – General Securities Representative Examination  
Series 9 – General Securities Sales Supervisor – Options Module Examination  
Series 10 – General Securities Sales Supervisor – General Module Examination  
Series 66 – Uniform Combined State Law Examination

CERTIFIED FINANCIAL PLANNER™ - CFP®  
Certified Financial Planner Board of Standards

### **CFP® Designation:**

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP® (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by the 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 CFP® certification. It is recognized in the United States and a number of other countries for its: (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with Clients.

To become certified as a CFP® Professional, one must meet the following requirements in the areas of education, examination, experience, and ethics.

### **Education Requirements:**

**The education requirement for attaining CFP® certification includes two main parts:**

1. Complete college or university-level coursework through a program registered with the CFP® Board, addressing the major personal financial planning areas identified by the CFP® Board's most recent Job Analysis Study; and
2. Verify that you hold a regionally accredited college or university bachelor's degree or higher (accreditation must be recognized by U.S. Department of Education at the time the degree is awarded).

**Examination Requirement:**

Pass the CFP® Certification Examination. This is a ten (10) hour examination covering Knowledge, Comprehension/Application, Analysis/Synthesis, and Evaluation.

**Experience Requirement:**

A total of three (3) years full-time qualifying Experience, or the equivalent of six thousand (6,000) hours, which is two thousand (2,000) hours per year, is required to satisfy the three (3) year Experience Requirement.

**Ethics Requirement:**

CFP® professionals agree to adhere to the high standards of ethics and practice outlined in the CFP® Board's Standards of Professional Conduct ("Standards") and to acknowledge the CFP® Board's right to enforce them through its Disciplinary Rules and Procedures ("Disciplinary Rules").

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

**Continuing Education:**

Complete thirty (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 planning field; and

**Ethics:**

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. CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP® Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

### **Additional Professional Certifications:**

#### **1. Chartered Retirement Planning Counselor<sup>SM</sup> (CRPC<sup>®</sup>):**

Chartered Retirement Planning Counselor is a designation granted by the College for Financial Planning after fulfilling the program's requirements. CRPC<sup>®</sup> certification requirements are as follows:

- Successfully complete the program.
- Pass the final examination.
- Comply with the Code of Ethics.
- Upon completion and obtaining the CRPC<sup>®</sup> designation, you must complete sixteen (16) hours of continuing education.
- Reaffirm to abide by the Standards of Professional Conduct, and
- Pay a biennial renewal fee.

#### **2. Chartered Retirement Plans Specialist<sup>SM</sup> or CRPS<sup>®</sup>**

The Chartered Retirement Plans Specialist<sup>SM</sup> or CRPS<sup>®</sup> designation is the nation's premier credential focusing on retirement plan administration. This designation is awarded to individuals who specialize in creating, implementing and maintaining retirement plans for businesses. The CRPS<sup>®</sup> certification requirements are as follows:

- Complete a course of study encompassing all aspects of retirement plans.
- Pass an end-of-course examination that demonstrates their expertise.
- All designees have agreed to adhere to the Standards of Professional Conduct and are subject to a disciplinary process.
- Designees renew their designation every two-years by completing sixteen (16) hours of continuing education, reaffirming adherence to the Standards of Professional Conduct and complying with self-disclosure requirements.
- Pay a nominal fee to continue using the designation.

<b>Business Background</b>		
<b>Employer</b>	<b>Title</b>	<b>Dates</b>
TCP Asset Management, LLC Columbus, OH	Owner and Investment Advisor Representative	10/2016 – Present
United Planners Financial Services Scottsdale, AZ	Registered Representative	12/2016 – Present
Securities America, Inc. Columbus, OH	Investment Advisor Representative and Registered Representative	10/2014 – 10/2016
Tendency Capital Management	Investment Advisor Representative	10/2014 – 10/2016

Oppenheimer & Co., Inc. Cincinnati, OH	Investment Advisor Representative and Registered Representative	12/2013 – 10/2014
Invest Financial Corporation Worthington, OH	Investment Advisor Representative and Registered Representative	10/2012 – 12/2013

### **Item 3: Disciplinary Information**

There are 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**

Mr. Allen is a licensed insurance agent with various insurance companies.

In addition, Mr. Allen is a Registered Representative of United Planners Financial Services, an unaffiliated broker-dealer.

### **Item 5: Additional Compensation**

Mr. Allen does not receive any economic benefit from any person, company, or organization, in exchange for providing Client advisory services through TCP Asset Management, LLC other than his compensation paid by the Company, i.e., salary and/or bonuses.

Mr. Allen receives compensation as a licensed insurance agent. And, as a Registered Representative of United Planners, an unaffiliated broker-dealer, he receives commissions based on the sale of securities and other investment products.

### **Item 6: Supervision**

Mr. Allen is supervised by Julianne Call, Chief Compliance Officer. Ms. Call supervises all duties and activities of Mr. Allen. Mr. Allen's contact information is on the cover page of this disclosure document. Mr. Allen adheres to all required regulations regarding the activities of an Investment Adviser Representative and follows all policies and procedures outlined in the Company's policies and procedures manual, including the Code of Ethics, and appropriate securities regulatory requirements.