

Item 1: Cover Page

This brochure supplement provides information about John M. Riley 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 John M. Riley is also available on the Securities and Exchange Commission's website at 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

TCP Asset Management, LLC

Form ADV, Part 2B – Individual Disclosure Brochure

for

John M. Riley

Investment Advisor Representative

CRD No. 2325085

8415 Pulsar Place, Suite 210

Columbus, Ohio 43240

Tele: 614-761-9378 | Fax: 614-441-9945

Email: Jriley@rileybig.com

Website: www.tcpasset.com

Date: 04/16/2020

Item 2: Educational Background and Business Experience

Name: John M. Riley
Born: 1965
Title: Investment Advisor Representative of
TCP Asset Management, LLC

Designations:

AIF® - Accredited Investment Fiduciary®

- The AIF designation, awarded by the Center for Fiduciary Studies, an fi360 company, demonstrates the focus on all the components of a comprehensive investment process, related fiduciary standards of care, and commitment to excellence.
- AIF designees must complete 6 steps to earn the designation: 1. submit registration and fee; 2. successfully complete a specialized program on investment fiduciary standards of care; 3. pass a comprehensive examination; 4. upon passing, submit the accreditation application and fee; 5. complete annual continuing educational requirements; 6. pledge to abide by the designation's code of ethics.

CEBS - Certified Employee Benefit Specialist

- To earn a CEBS designation individuals are expected to register with the CEBS Program then must pass a national exam on each course. Upon completing the national exam for each of the courses, students will earn the professional designation of Certified Employee Benefit Specialist. Examinations are computer-based and are administered at Prometric (formerly Sylvan) Testing Centers.
- EARN THE CEBS DESIGNATION BY COMPLETING SIX REQUIRED COURSES AND TWO ELECTIVES
 - * COURSE 1 -Employee Benefits: Concepts and Health Care Benefits
 - * COURSE 2 -Employee Benefits: Design, Administration and Other Welfare Benefits
 - * COURSE 3 -Retirement Plan Design
 - * COURSE 4 -Retirement Plans: Defined Benefit Approaches and Plan Administration
 - * COMPENSATION 1 - Compensation Concepts and Principles NEW
 - * COURSE 8 -Human Resources and Compensation Management
- TWO ELECTIVES
 - * COURSE 7 -Asset Management
 - * COURSE 9 -Health Economics
 - * COMPENSATION 2 - Executive Compensation and Compensation Issues NEW
 - * PFP 1 - Personal Financial Planning 1: Concepts and Principles
 - * PFP2 - Personal Financial Planning 2: Tax and Estate Planning Techniques

CMFC® - Chartered Mutual Fund Counselor

- The CMFC designation is a professional designation awarded by the College for Financial Planning to financial services professionals who complete a study program and pass an exam covering mutual fund topics.
- All designees have agreed to adhere to Standards of Professional Conduct and are subject to a disciplinary process.
- Designees renew their designation every two-years by completing 16 hours of continuing education, reaffirming adherence to the Standards of Professional Conduct and complying with self-disclosure requirements.

Education: Bachelor of Business Administration – Finance: 1992
Capital University – Columbus, Ohio

Associates of Science: 1990
Manatee Community College – 1990

Examinations / Licenses: Series 6 – Investment Company Products/Variable Contracts
Representative Examination
Series 63 – Uniform Securities Agent State Law Examination
Series 65 – Uniform Investment Adviser Law Examination

| Business Background | | |
|--|-----------------------------------|-------------------|
| Employer | Title | Dates |
| TCP Asset Management, LLC Columbus, OH | Investment Advisor Representative | 01/2017 – Present |
| United Planners Financial Services Scottsdale, AZ | Registered Representative | 12/2016 – Present |
| Trendency Capital Management, LLC Columbus, OH | Investment Advisor Representative | 02/2015 – 01/2017 |
| Securities America, Inc. Columbus, OH | Registered Representative | 01/2015 – 10/2016 |
| NFP Securities, Inc. Dublin, OH | Registered Representative | 03/2013 – 01/2015 |
| G & W Equity Sales, Inc. Indianapolis, IN | Registered Representative | 07/1994 – 01/2015 |
| S A Bogenrief & Assoc., LLC Dublin, OH | Representative | 05/1994 – 01/2013 |
| Self Employed Worthington, OH | Other – Sales Representative | 05/1994 – 01/2001 |

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. Riley is a licensed insurance agent with various insurance companies. In addition, Mr. Riley is a Registered Representative of United Planners Financial Services, an unaffiliated broker-dealer.

Item 5: Additional Compensation

Mr. Riley 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. Riley 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.

For those Investment Advisor Representatives ("IARs") of the Company that are also registered as Registered Representatives ("RR") of United Planners Financial Services ("UP"), an unaffiliated broker-dealer, as well as those IARs that may be licensed insurance agents, either of these situations may cause a conflict of interest. As RRs of UP, the IAR may sell general securities products such as stocks, bonds, mutual funds, exchange-traded funds, and variable annuities, and variable life products to advisory Clients and earn a commission on these sales

from UP. Some, if not all, of the IARs are also licensed insurance agents and may offer insurance products through unaffiliated insurance entities to the Company's advisory Clients and may earn a commission on any sales. This may create a conflict of interest just by the IAR earning a commission on the sale of securities products or as an insurance agent earning commissions on insurance products. Clients are under no obligation to purchase securities through their IAR in their separate capacity as a RR or insurance products in their separate capacity as an insurance agent. TCP is neither a broker-dealer nor an insurance agency, and therefore, does not offer either securities or insurance products.

Item 6: Supervision

Mr. Riley is supervised by Julianne Call, Chief Compliance Officer. Ms. Call supervises all duties and activities of Mr. Riley. Mr. Riley's contact information is on the cover page of this disclosure document. Mr. Riley 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.