

## **Item 1: Cover Page**

This brochure supplement provides information about Mark W. Pfister 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 Mark W. Pfister 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

### **Mark W. Pfister**

Investment Advisor Representative

CRD No. 1843650

8415 Pulsar Place, Suite 210

Columbus, Ohio 43240

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

Email: [Mark@tcpasset.com](mailto:Mark@tcpasset.com)

Website: [www.tcpasset.com](http://www.tcpasset.com)

Date: 04/16/2020

## Item 2: Educational Background and Business Experience

**Name:** Mark W. Pfister

**Born:** 1963

**Title:** Investment Advisor Representative of  
TCP Asset Management, LLC

**Education:** Bachelor of Arts – Organizational Communications: 1987  
OSU – Columbus, Ohio

**Examinations / Licenses:** Series 6 – Investment Company Products/Variable  
Contracts Representative Examination

Series 63 – Uniform Securities Agent State Law  
Examination

Business Background		
Employer	Title	Dates
TCP Asset Management, LLC Columbus, OH	Investment Advisor Representative	01/2017 – Present
Pfister Financial Services Worthington, OH	President	03/1988 – Present
Tendency Capital Management, LLC Columbus, OH	Investment Advisor Representative	02/2016 – 01/2017
Securities America, Inc. Worthington, OH	Registered Representative	02/2016 – 10/2016
Parkland Securities, Inc. Ann Arbor, MI	Registered Representative	08/2014 – 10/2015
Sammons Securities Company, LLC Ann Arbor, MI	Registered Representative	12/2012 – 08/2014
WRP Investments, Inc. Youngstown, OH	Registered Representative	09/2002 – 12/2012
Guardian Life Insurance Co. of America Worthington, OH	Broker	02/1997 – 12/2012

### **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. Pfister is a licensed insurance agent with various insurance companies.

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

Mr. Pfister 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. Pfister receives compensation as a licensed insurance agent.

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