

*This brochure supplement provides information about Keri Anne Holton that supplements the TCP Asset Management, LLC brochure. You should have received a copy of that brochure. Please contact Keri Anne Holton if you did not receive TCP Asset Management, LLC's brochure or if you have any questions about the contents of this supplement.*

*Additional information about Keri Anne Holton is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

## **TCP Asset Management, LLC**

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

*for*

### **Keri Anne Holton**

Personal CRD Number: 4650622

Investment Adviser Representative

TCP Asset Management, LLC  
8415 Pulsar Place Suite 210  
Columbus, OH 43240  
614-761-9378 \*3  
[keri@tcpasset.com](mailto:keri@tcpasset.com)

UPDATED: 04/ 16/ 2020

## Item 2: Educational Background and Business Experience

**Name:** Keri Anne Holton

**Born:** 1977

### **Educational Background and Professional Designations:**

#### **Education:**

Bachelor of Arts Psychology, Ohio University - 2000

#### **Professional Designations:**

**CRPC® - Chartered Retirement Planning Counselor<sup>SM</sup>**

- 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 and Terms and Conditions. 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;
  - 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; and
  - paying a biennial renewal fee

**CRPS® - Chartered Retirement Plans Specialist<sup>SM</sup>**

- 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 and Terms and Conditions. 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
- Continued use of the CRPS® designation is subject to ongoing renewal requirements. Every two years individuals must renew their right to continue using the CRPS® designation by:
  - Completing 16 hours of continuing education;
  - 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; and
  - Paying a biennial renewal fee

#### **Business Background:**

06/2018 - Present

Financial Advisor  
United Planners

07/2003 - 05/2018

Senior Retirement Consultant  
Lincoln Financial Group

### **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**

Keri Anne Holton is a registered representative. From time to time, she will offer clients advice or products from this activity. Clients should be aware that these services pay a commission and involve a possible conflict of interest, as commissionable products can conflict with the fiduciary duties of a registered investment adviser. TCP Asset Management, LLC always acts in the best interest of the client; including in the sale of commissionable products to advisory clients. Clients are in no way required to utilize the services any representative of TCP Asset Management, LLC in such individual's outside capacity.

Keri Anne Holton is a licensed insurance agent. From time to time, she will offer clients advice or products from this activity. Clients should be aware that these services pay a commission and involve a possible conflict of interest, as commissionable products can conflict with the fiduciary duties of a registered investment adviser. TCP Asset Management, LLC always acts in the best interest of the client; including in the sale of commissionable products to advisory clients. Clients are in no way required to utilize the services any representative of TCP Asset Management, LLC in such individual's outside capacity.

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

Keri Anne Holton does not receive any economic benefit from any person, company, or organization, other than TCP Asset Management, LLC in exchange for providing clients advisory services through TCP Asset Management, LLC.

### **Item 6: Supervision**

As a representative of TCP Asset Management, LLC, Keri Anne Holton is supervised by Julianne Call, the firm's Chief Compliance Officer. Julianne Call is responsible for ensuring that Keri Anne Holton adheres to all required regulations regarding the activities of an Investment

Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Julianne Call is (602) 494-9883.