

*This brochure supplement provides information about Brad Little that supplements the TL Private Wealth brochure. You should have received a copy of that brochure. Please contact Brad Little, Managing Member if you did not receive TL Private Wealth's brochure or if you have any questions about the contents of this supplement.*

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

# **TL Private Wealth**

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

*for*

### **Brad Little**

Personal CRD Number: 5783449  
Investment Adviser Representative

Version Date: 3/27/2020

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## Item 2: Educational Background and Business Experience

**Name:** Brad Little **Born:** 1980

### Education Background and Professional Designations:

#### Education:

BA History, University of Texas, San Antonio – 2004

#### Designations:

##### CFP® - Certified Financial Planner

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 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. Currently, more than 62,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor’s Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board’s financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board’s *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

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:

- i. Continuing Education – Complete 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
- ii. 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.

**Business Background:**

05/2013 – Present	Managing Member – Chief Compliance Officer TL Private Wealth
02/2013 – 06/2013	Wealth Manager Jones Colby & Tondre
09/2010 – 02/2013	Registered Representative USAA Financial Advisors, Inc.
09/2010 – 02/2013	Wealth Advisor USAA Financial Planning Services
05/2010 – 08/2010	Financial Advisor Financial Network Investment Services
06/2007 – 08/2010	Technology Specialist North East ISD
06/2005 – 06/2007	Teacher North East ISD
05/2000 – 07/2005	Parking Manager Sonterra CC
09/2001 – 06/2005	Student UT – San Antonio

**Item 3: Disciplinary Information**

Brad Little has no regulatory, civil, or criminal actions or complaints, lawsuits, arbitration claims or administrative proceedings against him to report.

#### **Item 4: Other Business Activities**

Brad Little is a licensed insurance agent. From time to time, he will offer clients advice or products from those activities. Clients should be aware that these services pay a commission and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment adviser. TL Private Wealth always acts in the best interest of the client; including the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any representative of TL Private Wealth in such individual's capacity as an insurance agent.

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

Other than salary, annual bonuses, or regular bonuses, Brad Little does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through TL Private Wealth

#### **Item 6: Supervision**

As the co- owner and representative of TL Private Wealth, Brad Little supervises all duties and activities of the firm. Brad Little works closely with Dustin Tondre, Managing Member. Brad Little's contact information is on the cover page of this disclosure document. Brad Little adheres to all required regulations regarding the activities of an Investment Adviser Representative and follows all policies and procedures outlined in the firm's policies and procedures manual, including the Code of Ethics, and appropriate securities regulatory requirements.