

Cover Page

DALE Q. RICE

**1917 Main Street
Vancouver, WA 98660**

Phone: (360) 798-7007

February 9, 2021

**FORM ADV PART 2
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Dale Q. Rice that supplements the Dale Q. Rice Investment Management, Ltd. brochure. You should have received a copy of that brochure. Please contact Dale Q. Rice if you did not receive a Dale Q. Rice Investment Management, Ltd.'s brochure or if you have questions about this supplement. Mr. Rice's CRD number is 2394106.

**Additional information about Dale Q. Rice is also available on the SEC's website at
www.adviserinfo.sec.gov.**

Educational Background and Business Experience

Dale Q. Rice
Owner / CCO
Year of Birth: 1949

Business Background:

Dale Q. Rice Investment Management, Ltd., Owner / CCO, September 2011 - Present

LPL Financial, LLC, Registered Representative / Investment Advisor Representative, September 2010 – October 2020

Strategic Wealth Advisors Group, Investment Advisor, October 2010 – September 2020

Dale Q. Rice, Investment Advisor Ltd., President / Owner / Investment Advisor, February 1999 – December 2010

Sagepoint Financial, Inc., Registered Representative, January 2009 – September 2010

Educational Background:

Western Washington University, Bachelor of Science in Psychology and Economics, Graduated: 1971

Disciplinary Information

Mr. Rice does not have any reportable disciplinary disclosures.

Other Business Activities

Dale Q. Rice has a financial industry affiliated business as an independent insurance agent. Not more than 20% of his time is spent on these activities. From time to time, he offers clients advice or products from those activities. He may receive separate yet typical compensation in the form of commissions for the sale of insurance products.

These practices represent a conflict of interest because it gives Mr. Rice an incentive to recommend products based on the commission amount received. This conflict is mitigated by the

fact that Mr. Rice has a fiduciary responsibility to place the best interest of the client first and the clients are not required to purchase any products. Clients have the option to purchase these products through another insurance agent of their choosing.

Form ADV, Part 2B, Item 5

Additional Compensation

Mr. Rice does not receive any economic benefit from anyone, who is not a client, for providing advisory services.

Form ADV, Part 2B, Item 6

Supervision

Dale Q. Rice Investment Management, Ltd. has written supervisory procedures in place that are reasonably designed to detect and prevent violations of the securities laws, rules, and regulations of the Washington Securities Act. Mr. Rice is Dale Q. Rice Investment Management, Ltd.'s Chief Compliance Officer and the sole Investment Advisory Representative ("IAR") of the firm, therefore he is responsible for all of the activities that occur on behalf of Dale Q. Rice Investment Management, Ltd. and its clients. Mr. Rice will be supervising his own activities and will not be supervised by someone else. Mr. Rice can be reached at (360) 798-7007.

Form ADV, Part 2B, Item 7

Requirements for State-Registered Advisers

Dale Q. Rice does not have any reportable disciplinary events required to be disclosed in this section. He has not been the subject of a bankruptcy petition at any time during the past ten years.