

Form ADV – Part 2B: Investment Advisory Team Members

Brochure Supplement

January 29, 2021



Education and Business Standards:

J.P. King Advisors, Inc. generally requires advisors in its employ to have a bachelor's degree and further coursework demonstrating knowledge of financial planning and tax planning. Examples of acceptable coursework include but are not limited to: MS, MA, or MBA degree; CFP®, CFA, ChFC, JD, EA, or CPA (or enrollment in a course of study to achieve such designations). Additionally, advisors must have work experience that demonstrates their aptitude for financial planning and investment management. In some cases, extensive work experience may substitute for educational training. All CFP® advisors also attend continuing professional education sessions of no less than thirty hours during each two year renewal period. All *JPKA* advisors must have a commitment to our investment approach and demonstrate a strong commitment to and belief in their fiduciary responsibility to our firm and all our clients.

Professional Certifications of Our Advisors:

Advisors in our firm have earned certifications and credentials that are explained in further detail below:

1. **CERTIFIED FINANCIAL PLANNER Professional™ (CFP®)**: The designation CERTIFIED FINANCIAL PLANNING Professional™ (also CERTIFIED FINANCIAL PLANNER Practitioner™) indicates an individual is licensed by the CFP Board to use the CFP® mark. CFP® certification requirements include:
 - a. Bachelor's Degree from an accredited college or university
 - b. Completion of the financial planning education requirements set by the CFP Board (www.cfp.net)
 - c. Successful completion of the CFP® Certification Examination
 - d. Completion of three years of qualifying full-time work experience
 - e. Successfully pass the Candidate Fitness Standards and background check
 - f. Fulfill minimum thirty hours of continuing professional education during every two year renewal period (including an Ethics course requirement each period)
2. **Chartered Retirement Planning CounselorSM (CRPC®)**: This program enables experienced advisors, who are focused on retirement planning for individuals, define a "road map to retirement." There is a focus on clients' pre- and post-retirement needs, as well as issues related to asset management and estate planning.
 - a. Successful completion of the CRPC® education requirements and Certification Examination
 - b. Issuing Organization (College for Financial Planning) is accredited by U.S Department of Education Regional Accredited Agencies, The Higher Learning Commission (HLC)
 - c. Fulfill minimum sixteen hours of continuing professional education during every two year renewal period

Detailed information about the backgrounds and experience of each of the firm's investment advisors begins on page 2 of this Brochure Supplement.

James P. King, BA, MBA, CFP®

Date of Birth: August 25, 1946

Educational Background:

BA, Stanford University, California, 1969

MBA, Stanford University, California 1977

CFP® designation, College for Financial Planning, 1984

Business Experience:

1977 to 1978: Crocker Bank, International Banking Officer

1978 to 1979: Peat, Marwick, Mitchell & Co., Management Consultant

1979 to 1981: Equitec Financial Group, Inc., Branch Manager

1981 to 1982: J.P. King Financial Advisors (a sole proprietorship), Owner and Founder

1981 to 2015: Investment Architects, Inc., Registered Representative

1982 to 1985: J.P. King Financial Advisors, Inc. (an incorporated business), Founder and President

1985 to 1988: J.P. King & Associates, Inc. (corporation name change), Founder and President

1988 to 2007: J.P. King & Associates (business form changed from corporation to proprietorship; dissolution of the corporation on December 29, 1988), Founder and President

2007 to 2016: J.P. King Advisors, Inc., (the business was reincorporated on January 1, 2007), President, CEO, and COO

2017 to present: J.P. King Advisors, Inc., Founder and Chairman

Disciplinary Information: None

Additional Compensation: None

Supervision:

James P. King is supervised by Justin W. Dodson, Principal, COO, and CCO (Chief Compliance Officer) of our Firm. He reviews Jim's work through frequent office interactions as well as remote interactions. Mr. Dodson also reviews Jim's activities through our client relationship management system, our email system, and weekly team meetings. Supervisor Justin W. Dodson's contact information: Phone (925) 935-1555 or email justin@jpkkingadvisors.com

Scott N. Horton, BS, MS, CFP®

Date of birth: May 19, 1972

Educational Background:

BS, Managerial Economics, University of California at Davis, 1995

MS, Finance, Golden Gate University, California 2000

Graduate Certificate in Financial Planning, Golden Gate University, 2000

CFP® designation, College for Financial Planning, 2001

Business Experience:

1995 to 1996: Morgan Stanley Dean Witter, Account Executive

1996 to 2008: Fidelity Investments, Private Client Group, Vice President, Sr. Account Executive

2008 to 2014: Investment Architects, Inc., Registered Representative

2008 to 2016: J.P. King Advisors, Inc., Principal and Lead Financial Advisor

2017 to present: J.P. King Advisors, Inc., President, CEO, and CIO

Disciplinary Information: None

Additional Compensation: None

Supervision:

Scott N. Horton is supervised by Justin W. Dodson, Principal, COO, and CCO (Chief Compliance Officer) of our Firm. He reviews Scott's work through frequent office interactions as well as remote interactions. Mr. Dodson also reviews Scott's activities through our client relationship management system, our email system, weekly team meetings, and trading logs. Supervisor Justin W. Dodson's contact information: Phone (925) 935-1555 or email justin@jpkngadvisors.com

Justin W. Dodson, BS

Date of birth: June 23, 1974

Educational Background:

BS, Business Administration/Finance, Sonoma State University, California, 2000

FINRA Series 66 – Investment Adviser Rep., CRD #4217330

Life, Health & Variable Contracts licenses from the States of California, Georgia and Washington

Business Experience:

2000 to 2002: PaineWebber and Company, Financial Advisor

2002 to 2003: MetLife Securities, Inc., Financial Planner

2003 to 2012: Fidelity Investments, Private Client Group, Vice President, Sr. Account Executive

2012 to 2014: Investment Architects, Inc., Registered Representative

2012 to 2016: J.P. King Advisors, Inc., Financial Advisor

2017 to present: J.P. King Advisors, Inc., Principal, COO, and CCO

Disciplinary Information: None

Other Business Activities: Justin W. Dodson is licensed in the states of California and Georgia to sell insurance products. A potential conflict of interest exists as *JPKA* may receive customary insurance commissions in addition to investment advisory fees. Clients are under no obligation to purchase insurance products from Justin.

Additional Compensation: None

Supervision:

Justin W. Dodson is supervised by Scott Horton, CFP®, President, CEO, and CIO of our firm. He reviews Justin's work through frequent office interactions as well as remote interactions. Mr. Horton also reviews Justin's activities through our client relationship management system, our email system, weekly team meetings, and trading logs. Supervisor Scott N. Horton's contact information: Phone (925) 935-1555 or email scott@jpkngadvisors.com

Jessica L. Schafer, BS, CFP®

Date of Birth: February 6, 1987

Educational Background:

BS, Business Administration, California State University, East Bay, 2009

CFP® designation, College for Financial Planning, 2013

Life, Health & Variable Contracts licenses from the State of California

Business Experience:

2002 to 2009: Steve Sauer, CFP®, Assistant
Jan. – July 2009: American Investors Company, Registered Representative
2009 to 2010: Alamo Capital, Operations Assistant
2010 to 2016: American Investors Company, Registered Representative, Advisory Affiliate
2016 to present: J.P. King Advisors, Inc., Financial Advisor

Disciplinary Information: None

Other Business Activities: Jessica L. Schafer is licensed in the state of California to sell insurance products. A potential conflict of interest exists as *JPKA* may receive customary insurance commissions in addition to investment advisory fees. Clients are under no obligation to purchase insurance products from Jessica.

Additional Compensation: None**Supervision:**

Jessica L. Schafer is supervised by Justin W. Dodson, Principal, COO, and CCO (Chief Compliance Officer) of our Firm. He reviews Jessica's work through frequent office interactions as well as remote interactions. Mr. Dodson also reviews Jessica's activities through our client relationship management system, our email system, weekly team meetings, and trading logs. Supervisor Justin W. Dodson's contact information: Phone (925) 935-1555 or email justin@jpkkingadvisors.com

Douglas R. Villing, BS, CRPC®

Date of Birth: January 28, 1969

Educational Background:

BS, Business Administration, Northern Kentucky University, 1996
CRPC® designation, College for Financial Planning, 2010
Life, Health & Variable Contracts licenses from the State of California

Business Experience:

1998 to 2012: Fidelity Investments, Retirement Consultant
2012 to 2020: TIAA Individual and Institutional Services, Wealth Management Advisor
2021 to present: J.P. King Advisors, Inc., Financial Advisor

Disciplinary Information: None

Other Business Activities: Douglas R. Villing is licensed in the state of California to sell insurance products. A potential conflict of interest exists as *JPKA* may receive customary insurance commissions in addition to investment advisory fees. Clients are under no obligation to purchase insurance products from Douglas.

Additional Compensation: None**Supervision:**

Douglas R. Villing is supervised by Justin W. Dodson, Principal, COO, and CCO (Chief Compliance Officer) of our Firm. He reviews Douglas' work through frequent office interactions as well as remote interactions. Mr. Dodson also reviews Douglas' activities through our client relationship management system, our email system, weekly team meetings, and trading logs. Supervisor Justin W. Dodson's contact information: Phone (925) 935-1555 or email justin@jpkkingadvisors.com