

Equity Advisors of Kentucky

Form ADV Part 2B  
“Brochure Supplement”  
Dated 5/3/2021

# Equity Advisors of Kentucky

Form ADV Part 2B – 5/3/2021

## Item 1

A.

### Brian Guilliom, CFP, EA

Equity Advisors of Kentucky, Inc.

Brochure Supplement

Dated 3/25/2021

Contact: Eric Felty, CFP

3060 WADDY ROAD

WADDY, KY 40076

(502) 829-9244

B. This Brochure Supplement provides information about Brian Guilliom that supplements the Equity Advisors of Kentucky, Inc. ADV Brochure. You should have received a copy of that Brochure. Please contact Eric Felty, CFP, if you did not receive the Brochure or if you have any questions about the contents of this supplement.

## Item 2 - Education Background and Business Experience

Brian Guilliom is a graduate of The University of Notre Dame, and holds an MBA from Roosevelt University. Brian worked in Corporate Finance for American Hospital Supply, and Pizza Hut, where he served as VP Financial Services. Brian came to Louisville KY in 1986 as VP of Real Estate and Construction and began work in Finance when he was fired from KFC in 1990. He had promised the children that they would not move from Louisville, KY.

Brian took and passed the CPA exam in Illinois in 1974. He did not complete enough service to become licensed.

Brian began his work in Financial Planning as an agent with Mass Mutual Life Insurance Company. He obtained his CFP Certification and became an Enrolled Agent registered with the IRS.

In October, 1998, Brian established Equity Advisors of Kentucky as a Registered Investment Advisor Firm, and has worked for the company since then.

## Item 3 – Disciplinary Information

July 31, 2014 - The Kentucky Department of Labor Cabinet, Department of Workers' Claims, issued a citation (#2014-0365) for Equity Advisors of Kentucky, Inc. was without workers' compensation coverage from January 02, 1997 to PRESENT in violation of KRS 342.340 and KRS 342.630. The company did not have non owner employees during the entire period. Brian Guilliom, individually, and Nancy Guilliom, individually, and Equity Advisors of Kentucky, Inc. were assessed a civil penalty of \$42,500. The case was fought, through the Kentucky Circuit Court of Appeals, until 2019. Equity Advisors of Kentucky, Inc. is compliant workers' compensation insurance requirements.

Equity Advisors of Kentucky, Inc. 3060 Waddy Road, Waddy, KY 40076  
Tel. (502) 829-9244 FAX (502) 681-9971

# Equity Advisors of Kentucky

## **Item 4 – Other Business Activities**

Brian Guilliom serves as titular manager for some business entities owned by our clients. He also owns and operates Maple Lane Farm

## **Item 5 – Additional Compensation**

None

## **Item 6 – Supervision**

Brian Guilliom is Founder and Chief Compliance Officer (CCO). Complete adherence to the Firm's compliance manual and the Code of Ethics is required by all employees. As noted below, each aspect of work is periodically audited by the CO to ensure compliance. This includes, but is not limited to, the following items:

- Financial Plans, Investment Policy Statements and client recommendations
- Portfolio reports and trade records
- Client meetings and on-site visits
- Cash movements from custodian including deposits and withdrawals

# Equity Advisors of Kentucky

Form ADV Part 2B – 5/3/2021

## Item 1

A.

### Eric Felty, CFP, CPA

Equity Advisors of Kentucky, Inc.

Brochure Supplement

Dated 3/25/2021

Contact: Eric Felty, CFP

3060 WADDY ROAD

WADDY, KY 40076

(502) 829-9244

B. This Brochure Supplement provides information about Eric Felty that supplements the Equity Advisors of Kentucky, Inc. ADV Brochure. You should have received a copy of that Brochure. Please contact Eric Felty, CFP, if you did not receive the Brochure or if you have any questions about the contents of this supplement.

## Item 2 - Education Background and Business Experience

Eric Felty is a graduate of Miami University (Oxford, Ohio) with a Bachelor of Science degree in Finance & Accounting and has his Masters of Business Administration (MBA) with a Finance concentration from Ohio University (Athens, Ohio). Mr. Felty is a Certified Financial Planner (CFP)®, and a Certified Public Accountant (CPA), currently licensed in the State of Ohio. Additionally Mr. Felty is an Enrolled Agent as authorized by the Internal Revenue Service.

Over the past 5 years Mr. Felty functioned as a CPA-Tax Accountant with Deloitte, a Financial Consultant with JP Morgan Chase Investments, Performance Analyst at Morgan Stanley. He has served as Investment Advisor and Tax Manager for Equity Advisors of Kentucky (May 2018)

## Item 3 – Disciplinary Information

None

## Item 4 – Other Business Activities

None

## Item 5 – Additional Compensation

None

## Item 6 – Supervision

Equity Advisors of Kentucky, Inc. 3060 Waddy Road, Waddy, KY 40076  
Tel. (502) 829-9244 FAX (502) 681-9971

# Equity Advisors of Kentucky

Eric Felty is a Financial Planner & Investment Manager for Equity Advisors of Kentucky. His activities are supervised by Brian Guilliom, Founder and Chief Compliance Officer (CCO). Complete adherence to the Firm's compliance manual and the Code of Ethics is required by all employees. As noted below, each aspect of Eric's work is periodically audited by the CCO to ensure compliance. This includes, but is not limited to, the following items:

- Financial Plans, Investment Policy Statements and client recommendations
- Portfolio reports and trade records
- Client meetings and on-site visits
- Cash movements from custodian including deposits and withdrawals

Supervisor's contact information: **Brian Guilliom**, Founder and Chief Compliance Officer ♦ PHONE: (502) 829-9244 ♦ Email: [briang@ea-ky.com](mailto:briang@ea-ky.com)

# Equity Advisors of Kentucky

Form ADV Part 2B – 5/3/2021

## Item 1

A.

### Fon Rogers, CFP

Equity Advisors of Kentucky, Inc.

Brochure Supplement

Dated 3/25/2021

Contact: Eric Felty, CFP

3060 WADDY ROAD

WADDY, KY 40076

(502) 829-9244

B. This Brochure Supplement provides information about Fon Rogers that supplements the Equity Advisors of Kentucky, Inc. ADV Brochure. You should have received a copy of that Brochure. Please contact Eric Felty, CFP, if you did not receive the Brochure or if you have any questions about the contents of this supplement.

## Item 2 - Education Background and Business Experience

Fon Rogers is a graduate of Washington & Lee University (Lexington, VA) with a Bachelor of Science degree in Physics-Engineering. Mr. Rogers is a Certified Financial Planner (CFP).

Mr. Rogers has worked for Equity Advisors of Kentucky as a Financial Planner since October 2014.

## Item 3 – Disciplinary Information

None

## Item 4 – Other Business Activities

None

## Item 5 – Additional Compensation

None

## Item 6 – Supervision

Fon Rogers is a Financial Planner & Investment Manager for Equity Advisors of Kentucky. His activities are supervised by Brian Guilliom, Founder and Chief Compliance Officer (CCO). Complete adherence to the Firm's compliance manual and the Code of Ethics is required by all employees. As noted below, each aspect of Fon's work is periodically audited by the CCO to ensure compliance. This includes, but is not limited to, the following items:

Equity Advisors of Kentucky, Inc. 3060 Waddy Road, Waddy, KY 40076  
Tel. (502) 829-9244 FAX (502) 681-9971

# Equity Advisors of Kentucky

- Financial Plans, Investment Policy Statements and client recommendations
- Portfolio reports and trade records
- Client meetings and on-site visits
- Cash movements from custodian including deposits and withdrawals

Supervisor's contact information: Brian Guilliom, Founder and Chief Compliance Officer ♦ PHONE: (502) 829-9244 ♦ Email: [briang@ea-ky.com](mailto:briang@ea-ky.com)