

Yuko DuBois
CRD# 3200540

ADV Part 2B – Brochure Supplement

March 31, 2023

McBroom & Associates, LLC
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This Brochure Supplement provides information about Yuko Dubois that supplements the McBroom & Associates, LLC's Brochure. You should have received a copy of that Brochure. Please contact our Chief Compliance Officer at (702)267-6649 if you did not receive McBroom & Associates, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Yuko Dubois is available on the SEC's website at www.adviserinfo.sec.gov.

ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Yuko Dubois, CFP®, EA, CMT

Born: 1964

Education:

University of Nevada, Las Vegas – B.S. of Hotel Administration, Magna Cum Laude

Meiji Gakuin University – Bachelors of Law/Jurisdiction Studies

Business Background:

McBroom & Associates, LLC – September 2011 to Present, Chief Compliance Officer & Senior Investment Officer

MIRU & Associates LLC – January 2013 to Present, Owner

Dan Arcotta Decorating Inc. – January 2011 to December 2020, Business Manager

Explanation of Professional Designations:

Certified Financial Planner™ (CFP®)

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:

- 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
- 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.

Chartered Market Technician® (CMT)

The Chartered Market Technician® designation is issued by the CMT Association. To obtain the CMT designation candidates must (i) complete three levels of examinations; (ii) demonstrate three years of acceptable professional experience; and (iii) be approved as a member of the CMT Association. To maintain the designation, CMT charterholders must be a member of the CMT Association in good standing and abide by the CMT Association Code of Ethics.

ITEM 3 – DISCIPLINARY HISTORY

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No information is applicable to this Item.

ITEM 4 – OTHER BUSINESS ACTIVITIES

Ms. DuBois is the sole owner of MIRU & Associates LLC ("MIRU"), a firm that provides business administration, state-registered document preparation service, tax preparation, Enrolled Agent and other consulting services.

From time to time, McBroom & Associates, LLC (the "Firm") or Ms. DuBois will refer its clients to MIRU to receive the business and/or tax services described in the preceding paragraph. There are no fees paid for such referrals. This creates a conflict of interest in that Ms. DuBois has a financial incentive to recommend MIRU as opposed to other comparable firms because Ms. DuBois will receive normal compensation in her capacity as the sole owner of MIRU if clients elect to work with MIRU. The Firm has adopted certain procedures designed to mitigate the effects of these conflicts. As part of its fiduciary duty to clients, the Firm and its representative's endeavor at all times to put the interests of the clients first, and recommendations will only be made to the extent that they are reasonably believed to be in the best interests of the client. Additionally, the conflicts are disclosed to clients through the Firm's ADV Part 2A

Brochure or this ADV Part 2B Brochure Supplement, and/or verbally in discussions with Firm representatives. Clients are under no obligation to utilize MIRU's services for any reason and are free to work with any firm of their choosing.

ITEM 5 – ADDITIONAL COMPENSATION

Outside of her activities at McBroom & Associates, LLC, Ms. DuBois is not actively engaged in any other investment-related business or occupation. Ms. DuBois' other business activities outside of her position at McBroom & Associates, LLC, including her role at MIRU, do not represent a substantial source (*i.e.*, more than 10%) of her time or annual income.

ITEM 6 – SUPERVISION

Ms. DuBois is supervised by Martin McBroom, who is the Chief Executive Officer of McBroom & Associates, LLC. Mr. McBroom may be contacted at (702) 267-6649.