

Uniform Application for Investment Adviser Registration

OMB APPROVAL

OMB Number:

Expires:
Estimated average burden
hours per response.

Name of Investment Adviser:

TRUCKER'S RETIREMENT PLAN, INC

Address: (Number and Street)	(City)	(State)	(Zip Code)	Area Code	Telephone Number
18444 N 25th Ave	Phoenix	AZ	85023	0 877	421-0004

**This part of Form ADV gives information about the investment adviser and its business for the use of clients.
The information has not been approved or verified by any governmental authority.**

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(Schedules A, B, C, D, and E are included with Part I of this Form, for the use of regulatory bodies, and are not distributed to clients.)

**Potential persons who are to respond to the collection of information contained in this form
are not required to respond unless the form displays a currently valid OMB control number.**

1. A. Advisory Services and Fees. (check the applicable boxes)For each type of service provided, state the approximate
% of total advisory billings from that service.

(See instruction below.)

Applicant:

- | | | | | |
|-------------------------------------|-----|---|-----------|---|
| <input checked="" type="checkbox"/> | (1) | Provides investment supervisory services | <u>1</u> | % |
| <input checked="" type="checkbox"/> | (2) | Manages investment advisory accounts not involving investment supervisory services | <u>60</u> | % |
| <input checked="" type="checkbox"/> | (3) | Furnishes investment advice through consultations not included in either service described above | <u>19</u> | % |
| <input type="checkbox"/> | (4) | Issues periodicals about securities by subscription | _____ | % |
| <input type="checkbox"/> | (5) | Issues special reports about securities not included in any service described above | _____ | % |
| <input type="checkbox"/> | (6) | Issues, not as part of any service described above, any charts, graphs, formulas, or other devices which clients may use to evaluate securities | _____ | % |
| <input checked="" type="checkbox"/> | (7) | On more than an occasional basis, furnishes advice to clients on matters not involving securities | <u>10</u> | % |
| <input type="checkbox"/> | (8) | Provides a timing service | _____ | % |
| <input checked="" type="checkbox"/> | (9) | Furnishes advice about securities in any manner not described above | <u>10</u> | % |

(Percentages should be based on applicant's last fiscal year. If applicant has not completed its first fiscal year, provide estimates of advisory billings for that year and state that the percentages are estimates.)

- | | | | |
|----|---|--------------------------|-------------------------------------|
| B. | Does applicant call any of the services it checked above financial planning or some similar term? | Yes | No |
| | | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

C. Applicant offers investment advisory services for: (check all that apply)

- | | | | | | |
|-------------------------------------|-----|--|-------------------------------------|-----|-------------------|
| <input checked="" type="checkbox"/> | (1) | A percentage of assets under management | <input type="checkbox"/> | (4) | Subscription fees |
| <input type="checkbox"/> | (2) | Hourly charges | <input checked="" type="checkbox"/> | (5) | Commissions |
| <input checked="" type="checkbox"/> | (3) | Fixed fees (not including subscription fees) | <input type="checkbox"/> | (6) | Other |

D. For each checked box in A above, describe on Schedule F:

- the services provided, including the name of any publication or report issued by the adviser on a subscription basis or for a fee
- applicant's basic fee schedule, how fees are charged and whether its fees are negotiable
- when compensation is payable, and if compensation is payable before service is provided, how a client may get a refund or may terminate an investment advisory contract before its expiration date

2. Types of Clients — Applicant generally provides investment advice to: (check those that apply)

- | | | | | | |
|-------------------------------------|----|----------------------------------|-------------------------------------|----|---|
| <input checked="" type="checkbox"/> | A. | Individuals | <input checked="" type="checkbox"/> | E. | Trusts, estates, or charitable organizations |
| <input type="checkbox"/> | B. | Banks or thrift institutions | <input checked="" type="checkbox"/> | F. | Corporations or business entities other than those listed above |
| <input type="checkbox"/> | C. | Investment companies | <input type="checkbox"/> | G. | Other (describe on Schedule F) |
| <input type="checkbox"/> | D. | Pension and profit sharing plans | | | |

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

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Part II - Page 3

Applicant:
TRUCKER'S RETIREMENT PLAN, INC

SEC File Number:
801- 126692

Date:
11/20/2023

3. Types of Investments. Applicant offers advice on the following: (check those that apply)

- A. Equity securities
- ☒ (1) exchange-listed securities
- ☒ (2) securities traded over-the-counter
- ☐ (3) foreign issuers
- ☐ B. Warrants
- ☐ C. Corporate debt securities (other than commercial paper)
- ☒ D. Commercial paper
- ☒ E. Certificates of deposit
- ☐ F. Municipal securities
- G. Investment company securities:
- ☒ (1) variable life insurance
- ☒ (2) variable annuities
- ☒ (3) mutual fund shares
- ☒ H. United States government securities
- I. Options contracts on:
- ☐ (1) securities
- ☐ (2) commodities
- J. Futures contracts on:
- ☐ (1) tangibles
- ☐ (2) intangibles
- K. Interests in partnerships investing in:
- ☒ (1) real estate
- ☐ (2) oil and gas interests
- ☐ (3) other (explain on Schedule F)
- ☐ L. Other (explain on Schedule F)

4. Methods of Analysis, Sources of Information, and Investment Strategies.

A. Applicant's security analysis methods include: (check those that apply)

- (1) ☒ Charting
- (2) ☒ Fundamental
- (3) ☒ Technical
- (4) ☒ Cyclical
- (5) ☐ Other (explain on Schedule F)

B. The main sources of information applicant uses include: (check those that apply)

- (1) ☒ Financial newspapers and magazines
- (2) ☒ Inspections of corporate activities
- (3) ☒ Research materials prepared by others
- (4) ☒ Corporate rating services
- (5) ☐ Timing services
- (6) ☒ Annual reports, prospectuses, filings with the Securities and Exchange Commission
- (7) ☒ Company press releases
- (8) ☐ Other (explain on Schedule F)

C. The investment strategies used to implement any investment advice given to clients include: (check those that apply)

- (1) ☒ Long term purchases
(securities held at least a year)
- (2) ☒ Short term purchases
(securities sold within a year)
- (3) ☒ Trading (securities sold within 30 days)
- (4) ☒ Short sales
- (5) ☒ Margin transactions
- (6) ☐ Option writing, including covered options, uncovered options, or spreading strategies
- (7) ☐ Other (explain on Schedule F)

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

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Applicant:
TRUCKER'S RETIREMENT PLAN, INC

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Date:
11/20/2023

5. Education and Business Standards.

Are there any general standards of education or business experience that applicant requires of those involved in determining or giving investment advice to clients? Yes No
☒ ☐

(If yes, describe these standards on Schedule F.)

6. Education and Business Background.

For:

- each member of the investment committee or group that determines general investment advice to be given to clients, or
- if the applicant has no investment committee or group, each individual who determines general investment advice given to clients (if more than five, respond only for their supervisors)
- each principal executive officer of applicant or each person with similar status or performing similar functions.

On Schedule F, give the:

- name
- formal education after high school
- year of birth
- business background for the preceding five years

7. Other Business Activities. (check those that apply)

- ☒ A. Applicant is actively engaged in a business other than giving investment advice.
- ☒ B. Applicant sells products or services other than investment advice to clients.
- ☐ C. The principal business of applicant or its principal executive officers involves something other than providing investment advice.

(For each checked box describe the other activities, including the time spent on them, on Schedule F.)

8. Other Financial Industry Activities or Affiliations. (check those that apply)

- ☐ A. Applicant is registered (or has an application pending) as a securities broker-dealer.
- ☐ B. Applicant is registered (or has an application pending) as a futures commission merchant, commodity pool operator or commodity trading adviser.
- C. Applicant has arrangements that are material to its advisory business or its clients with a related person who is a:
- | | |
|--|--|
| <input type="checkbox"/> (1) broker-dealer | <input type="checkbox"/> (7) accounting firm |
| <input checked="" type="checkbox"/> (2) investment company | <input type="checkbox"/> (8) law firm |
| <input type="checkbox"/> (3) other investment adviser | <input checked="" type="checkbox"/> (9) insurance company or agency |
| <input type="checkbox"/> (4) financial planning firm | <input type="checkbox"/> (10) pension consultant |
| <input type="checkbox"/> (5) commodity pool operator, commodity trading adviser or futures commission merchant | <input type="checkbox"/> (11) real estate broker or dealer |
| <input type="checkbox"/> (6) banking or thrift institution | <input type="checkbox"/> (12) entity that creates or packages limited partnerships |

(For each checked box in C, on Schedule F identify the related person and describe the relationship and the arrangements.)

- D. Is applicant or a related person a general partner in any partnership in which clients are solicited to invest? Yes No
☐ ☒

(If yes, describe on Schedule F the partnerships and what they invest in.)

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

9. Participation or Interest in Client Transactions.

Applicant or a related person: (check those that apply)

- ☐ A. As principal, buys securities for itself from or sells securities it owns to any client.
- ☒ B. As broker or agent effects securities transactions for compensation for any client.
- ☐ C. As broker or agent for any person other than a client effects transactions in which client securities are sold to or bought from a brokerage customer.
- ☐ D. Recommends to clients that they buy or sell securities or investment products in which the applicant or a related person has some financial interest.
- ☒ E. Buys or sells for itself securities that it also recommends to clients.

(For each box checked, describe on Schedule F when the applicant or a related person engages in these transactions and what restrictions, internal procedures, or disclosures are used for conflicts of interest in those transactions.)

Describe, on Schedule F, your code of ethics, and state that you will provide a copy of your code of ethics to any client or prospective client upon request.

10. Conditions for Managing Accounts. Does the applicant provide investment supervisory services, manage investment advisory accounts or hold itself out as providing financial planning or some similarly termed services *and* impose a minimum dollar value of assets or other conditions for starting or maintaining an account?

Yes No
☐ ☒

(If yes, describe on Schedule F.)

11. Review of Accounts. If applicant provides investment supervisory services, manages investment advisory accounts, or holds itself out as providing financial planning or some similarly termed services:

- A. Describe below the reviews and reviewers of the accounts. **For reviews**, include their frequency, different levels, and triggering factors. **For reviewers**, include the number of reviewers, their titles and functions, instructions they receive from applicant on performing reviews, and number of accounts assigned each.

Registrant's does not have sub-advisers that needed to be monitored and evaluated by registrant.

- B. Describe below the nature and frequency of regular reports to clients on their accounts.

Each client receives formal reports at least quarterly. Reports normally include actual performance, performance against objectives, benchmarks or indices, comments on markets and strategy and any suggested changes in performance objectives.

12. Investment or Brokerage Discretion.

A. Does applicant or any related person have authority to determine, without obtaining specific client consent, the:

- | | Yes | No |
|--|--------------------------|-------------------------------------|
| (1) securities to be bought or sold? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| (2) amount of the securities to be bought or sold? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| (3) broker or dealer to be used? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| (4) commission rates paid? | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

B. Does applicant or a related person suggest brokers to clients? ☐ Yes ☒ No

For each yes answer to A describe on Schedule F any limitations on the authority. For each yes to A(3), A(4) or B, describe on Schedule F the factors considered in selecting brokers and determining the reasonableness of their commissions. If the value of products, research and services given to the applicant or a related person is a factor, describe:

- the products, research and services
- whether clients may pay commissions higher than those obtainable from other brokers in return for those products and services
- whether research is used to service all of applicant's accounts or just those accounts paying for it; and
- any procedures the applicant used during the last fiscal year to direct client transactions to a particular broker in return for products and research services received.

13. Additional Compensation.

Does the applicant or a related person have any arrangements, oral or in writing, where it:

- | | | |
|---|---------------------------------|---|
| A. is paid cash by or receives some economic benefit (including commissions, equipment or non-research services) from a non-client in connection with giving advice to clients? | Yes
<input type="checkbox"/> | No
<input checked="" type="checkbox"/> |
| B. directly or indirectly compensates any person for client referrals? | Yes
<input type="checkbox"/> | No
<input checked="" type="checkbox"/> |

(For each yes, describe the arrangements on Schedule F.)

14. Balance Sheet. Applicant must provide a balance sheet for the most recent fiscal year on Schedule G if applicant:

- has custody of client funds or securities (unless applicant is registered or registering only with the Securities and Exchange Commission); or
 - requires prepayment of more than \$500 in fees per client and 6 or more months in advance
- Has applicant provided a Schedule G balance sheet? ☐ Yes ☒ No

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

**Schedule F of
Form ADV
Continuation Sheet for Form ADV Part II**

Applicant:
TRUCKER'S RETIREMENT PLAN, INC

SEC File Number:
801-126692

Date:
11/20/2023

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

① Full name of applicant exactly as stated in Item 1A of Part I of Form ADV:

TRUCKER'S RETIREMENT PLAN, INC

IRS Empl. Ident. No.:
84-3854448

Item of Form (identify)	Answer						
	<p style="text-align: center;">Item 1A <u>ADVISORY SERVICES</u></p> <p>Registered Independend Adviser (RIA)</p> <p style="text-align: center;">Item 1D <u>ADVISORY FEES</u></p> <p>Fees are generally calculated as a percentage of assets under management.</p> <p style="text-align: center;"><u>Item 3, 4 and 12 TYPES OF INVESTMENTS AND INVESTMENT STRATEGIES AND INVESTMENT OR BROKERAGE DISCRETION</u></p> <p>Registrant serves as Registered Independ Adviser (RIA) and offers investments to prospects and clients of the firm manager to investment companies registered under the Among other responsibilities, Registrant reviews security selection, performance, brokerage, trading policies and other practices of the investment products offered to prospects and clients of the firm</p> <p style="text-align: center;">Item 5 <u>EDUCATION AND BUSINESS STANDARDS</u></p> <p>The Registrant generally requires its advisory personnel to possess a college degree, or its equivalent, and encourages the continued formal education of such persons through universities and professional organizations.</p> <p style="text-align: center;">Item 6 <u>EDUCATION AND BUSINESS BACKGROUND</u></p> <p>Background information including business experience for at least the past five years for the principal executive officers of the Registrant is listed below:</p> <p><u>Jose Olivares, MBA</u></p> <table><tbody><tr><td>Title and Responsibilities:</td><td>President, Chief Executive Officer and Manager</td></tr><tr><td>Date of Birth:</td><td>07/03/1967</td></tr><tr><td>Education:</td><td>M.B.A., Keller Graduate School of Manangent, 2007</td></tr></tbody></table>	Title and Responsibilities:	President, Chief Executive Officer and Manager	Date of Birth:	07/03/1967	Education:	M.B.A., Keller Graduate School of Manangent, 2007
Title and Responsibilities:	President, Chief Executive Officer and Manager						
Date of Birth:	07/03/1967						
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Complete amended pages in full, circle amended items and file with execution page (page 1).

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Schedule F of
Form ADV
Continuation Sheet for Form ADV Part II

Applicant:
TRUCKER'S RETIREMENT PLAN, INC

SEC File Number:
801- 126692

Date:
11/20/2023

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1 Full name of applicant exactly as stated in Item 1A of Part I of Form ADV:

TRUCKER'S RETIREMENT PLAN, INC

IRS Empl. Ident. No.:

84-3854448

Item of Form (identify)	Answer
	Professional Experience: 2016-Present Independent Commercial Insurance Broker

Schedule F of
Form ADV
Continuation Sheet for Form ADV Part II

Applicant: TRUCKER'S RETIREMENT PLAN, INC	SEC File Number: 801-126692	Date: 11/20/2023
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(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

Full name of applicant exactly as stated in Item 1A of Part I of Form ADV: TRUCKER'S RETIREMENT PLAN, INC	IRS Empl. Ident. No.: 84-3854448
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Item of Form (identify)	Answer
	<div>Item 8 C <u>OTHER FINANCIAL INDUSTRY AFFILIATIONS</u></div> <div>None</div>

**Schedule F of
Form ADV
Continuation Sheet for Form ADV Part II**

Applicant:
TRUCKER'S RETIREMENT PLAN, INC

SEC File Number:
801-126692

Date:
11/20/2023

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

① Full name of applicant exactly as stated in Item 1A of Part I of Form ADV:

TRUCKER'S RETIREMENT PLAN, INC

IRS Empl. Ident. No.:
84-3854448

Item of Form (identify)	Answer
	<p style="text-align: center;"><u>Personal Securities Transactions and Insider Trading Policy</u></p> <p>The Registrant has adopted a Code of Ethics and Insider Trading Policy ("Code") based upon the principle that the officers, directors, and employees of the Registrant and other designated persons ("access persons") owe a fiduciary duty to its clients to conduct their affairs, including their personal securities transactions, in such manner to avoid (i) serving their own personal interests ahead of clients, (ii) taking inappropriate advantage of their position with the Registrant, and (iii) any actual or potential conflicts of interest or any abuse of their position of trust and responsibility.</p> <p>The Registrant's Code establishes policies and procedures to monitor personal trading activities as well as policies and procedures reasonably designed to prevent insider trading and the misuse of material nonpublic information.</p> <p>Each access person of the Registrant receives a copy of the Registrant's Code upon determination of their status as an access person and is required to complete: training regarding the Code, an initial certification and a listing of all Reportable Securities, as defined in the Code, currently owned in which the access person has a direct or indirect beneficial ownership, and a list of any or all brokerage accounts in which the access person has a direct or indirect beneficial ownership.</p> <p>At the end of every calendar year, every access person of the Registrant completes an annual certification which is submitted to the Registrant within 45 days of the end of the year.</p> <p>At the end of each calendar quarter, every access person of the Registrant completes a quarterly report of all transactions in Reportable Securities which is submitted to the Registrant within 30 days of the end of the quarter.</p> <p>Each access person must receive prior written approval before purchasing initial public offerings and limited offerings, as defined in the Code.</p> <p style="text-align: center;"><u>PARTICIPATION OR INTEREST IN ADVISORY CLIENT TRANSACTIONS FOR REGISTRANT'S AFFILIATED ADVISERS</u></p> <p style="text-align: center;">None</p> <p style="text-align: center;">Item 12 <u>INVESTMENT OR BROKERAGE DISCRETION</u></p> <p>In its capacity as investment Adviser, Registrant supervises sub-advisers that perform the day to day investment management activities in general. Registrant reviews the brokerage and trading policies of its sub-advisers and does not directly buy and sell securities for its managed accounts.</p>

Complete amended pages in full, circle amended items and file with execution page (page 1).

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Schedule F of
Form ADV
Continuation Sheet for Form ADV Part II

Applicant:
TRUCKER'S RETIREMENT PLAN, INC

SEC File Number:
801-126692

Date:
11/20/2023

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1 Full name of applicant exactly as stated in Item 1A of Part I of Form ADV:

TRUCKER'S RETIREMENT PLAN, INC

IRS Empl. Ident. No.:
84-3854448

Item of Form (identify)	Answer
	<p>With respect to the The Checks and Balances Fund, the purchase and sale of shares transac</p> <p><u>INVESTMENT OR BROKERAGE DISCRETION FOR REGISTRANT'S AFFILIATED ADVISERS</u></p> <p>N/A</p> <p>Item 13 A&B <u>ADDITIONAL COMPENSATION AND REFERRAL ARRANGEMENTS FOR REGISTRANT'S AFFILIATED ADVISERS</u></p> <p>N/A</p> <p>Certain Litigation Proceedings</p> <p>N/A</p>