



**EW**

& Associates

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**Dated March 31<sup>st</sup>, 2021**



Aaron Roderick Estrada\*

Morgan Jo Webb, CFP®, CFS, EA\*

**Purpose of the Brochure Supplement:**

This brochure supplement provides information about our personnel listed above that supplements the Trinity Portfolio Advisors, LLC (TPA) brochure. You should have received a copy of that brochure. Please contact Jeri Liedl at (817) 416-7227 if you did not receive Trinity Portfolio Advisor's brochure or if you have any questions about the contents of this supplement.

Additionally, a Summary of Professional Designations is included with this Part 2B Brochure Supplement. The list is provided to assist you in evaluating the professional designations held by our investment professionals.

Additional information about our personnel is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

\*Investment Committee Member for Trinity Portfolio Advisors, LLC which oversees policy as well as strategic and tactical direction for the firm's investment portfolios.

## PART 2B OF FORM ADV: BROCHURE SUPPLEMENT



### **Aaron Roderick Estrada**

**Born:** 1970

Investment Advisor Representative

### **Educational Background and Business Experience**

#### **Post-Secondary Education:**

- University of Texas at Arlington, BS, Kinesiology, (1993)

#### **Recent Business Experience: (10 years)**

- |                                   |                    |   |
|-----------------------------------|--------------------|---|
| • Trinity Portfolio Advisors, LLC | 08/2016 to present | Investment Advisor Representative         |
| • Estrada Webb & Associates       | 08/2016 to present | Managing Partner                          |
| • CFO4Life, L.P.                  | 10/2014 – 08/2016  | Investment Advisor Representative         |
| • LMBC II                         | 02/2014 – 08/2016  | Insurance Agency                          |
| • Ausdal Financial Partners       | 02/2014 – 08/2016  | Registered Representative                 |
| • Allstate Financial              | 12/2002 – 02/2014  | Insurance Agent/Registered Representative |

### **Disciplinary Information**

Aaron Roderick Estrada has no reportable disciplinary history.

### **Other Business Activities**

Aaron Roderick Estrada is engaged in non-investment-related business outside of his role with Trinity Portfolio Advisors, LLC. Mr. Estrada, in his individual capacity, is also a licensed insurance agent with various insurance companies, and in such capacity, may recommend, on a commission basis, the purchase of certain insurance products. Although TPA does not sell such insurance products to its investment advisory clients, TPA does permit its *Advisory Affiliates*, in their individual capacities as licensed insurance agents, to sell insurance products to its investment advisory clients. A potential conflict of interest may exist to the extent that Mr. Estrada recommends the purchase of insurance products where he receives insurance commissions and other compensation from insurance companies.

### **Additional Compensation**

Aaron Roderick Estrada does not receive any economic benefit from a non-advisory client for the provision of advisory services. All client advisory service fees are paid directly to Trinity Portfolio Advisors, LLC.

### **Supervision**

**Supervisor:** John A. Chalk, Jr.

**Title:** Chief Compliance Officer

**Phone Number:** (817) 416-7227

In addition to an annual in-person review of our firm's policies and procedures, each advisor is subject to the following ongoing supervision and review:

- Daily trade reviews
- Quarterly review of personal securities accounts
- Annual review of personal bank statements
- Monthly correspondence reviews, including ongoing capture and review of email
- Periodic reviews of client account activity

## PART 2B OF FORM ADV: BROCHURE SUPPLEMENT



**Morgan Jo Webb, CFP®, CFS, EA**

**Born:** 1983

Investment Advisor Representative

### **Educational Background and Business Experience**

#### **Post-Secondary Education:**

- University of North Texas, BBA, Marketing, 2006

#### **Recent Business Experience:**

- |                                   |                    |                                   |
|-----------------------------------|--------------------|-----------------------------------|
| • Trinity Portfolio Advisors, LLC | 08/2016 to present | Investment Advisor Representative |
| • Estrada Webb & Associates       | 08/2016 to present | Managing Partner                  |
| • AUSDAL Financial Partners, Inc. | 11/2013-06/2016    | Registered Assistant              |
| • CFO4LIFE                        | 11/2013-06/2016    | Registered Assistant              |
| • HD Vest Advisory Services       | 02/2011-10/2013    | Advisory Representative           |
| • HD Vest Investment Services     | 08/2007-10/2013    | Registered Representative         |
| • Wakeley Financial               | 03/2007-10/2013    | Tax Professional                  |

#### **Professional Designations:**

Morgan Jo Webb has earned the **Certified Financial Planner (CFP®)**, **Certified Fund Specialist (CFS)** and **Enrolled Agent (EA)** designations and is in good standing with the granting authority.

#### **Disciplinary Information**

Morgan Jo Webb has no reportable disciplinary history.

#### **Other Business Activities**

Morgan Jo Webb is engaged in investment-related business outside of her role with Trinity Portfolio Advisors, LLC. Ms. Webb in her individual capacity, is also a licensed insurance agent with various insurance companies, and in such capacity, may recommend, on a commission basis, the purchase of certain insurance products. Although TPA does not sell such insurance products to its investment advisory clients, TPA does permit its *Advisory Affiliates*, in their individual capacities as licensed insurance agents, to sell insurance products to its investment advisory clients. A potential conflict of interest may exist to the extent that Ms. Webb recommends the purchase of insurance products where she receives insurance commissions or other additional compensation from insurance companies.

Ms. Webb is an Enrolled Agent with the Internal Revenue Service. As an enrolled agent Ms. Webb has unrestricted ability to represent tax payers and all tax matters. Ms. Webb must maintain her status with the IRS by adhering to ethical standards and complete 72 hours of continuing education every three years. Ms. Webb maintains her role as an Enrolled Agent separate and apart from TPA's investment advisory activities. TPA may, from time to time, recommend certain of its clients to Ms. Webb for tax preparation/representation. Ms. Webb shall render these services independently of TPA, and TPA shall not receive any portion of the fees charged (referral or otherwise) by Ms. Webb for the services rendered. No portion of the financial plan or any other services rendered by TPA to clients should be interpreted as tax advice. Rather, clients should defer to the advice of their own CPA or Attorney.

#### **Additional Compensation**

Morgan Jo Webb does not receive any economic benefit from a non-advisory client for the provision of advisory services. All client advisory service fees are paid directly to Trinity Portfolio Advisors, LLC.

#### **Supervision**

**Supervisor:** John A. Chalk, Jr.

**Title:** Chief Compliance Officer

**Phone Number:** (817) 416-7227

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## PART 2B OF FORM ADV: BROCHURE SUPPLEMENT

### Summary of Professional Designations

This Summary of Professional Designations is provided to assist you in evaluating the professional designations and minimum requirements of our investment professionals who hold these designations.

“Understanding Professional Designations” may also be helpful and found on the FINRA website at: <http://apps.finra.org/DataDirectory/1/prodesignations.aspx>

The **Certified Financial Planner (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).
- 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.
- 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.

The **Certified Fund Specialist (CFS)** certification denotes an individual’s expertise in the mutual fund industry. The CFS certification does not license individuals to buy or sell mutual funds, only to advise which mutual funds may be suitable for clients. Often times a CFS holds the appropriate registration to buy and sell mutual funds for a client.

To attain the right to use the CFS designation, an individual must satisfactorily fulfill the following requirements:

- Education – Attain a Bachelor’s Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFS Education Program.
- Examination – Pass the comprehensive CFS Examination.

## PART 2B OF FORM ADV: BROCHURE SUPPLEMENT

- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year).

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFS Certification:

- Continuing Education – Complete 30 hours of continuing education hours every two years.

**An Enrolled Agent (EA)** is the only federally licensed tax practitioners who specialize in taxation and also have unlimited rights to represent taxpayers before the Internal Revenue Service.

To attain the right to use the EA license, an individual must satisfactorily fulfill the following requirements:

- Examination - Pass a three part comprehensive IRS test covering individual and business tax returns or through experience as a former IRS employee.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the EA license:

- Continuing Education – Complete 72 hours of continuing education hours every three years. Additionally, must obtain a minimum of 16 hours of continuing education (including 2 hours of ethics or professional conduct) each enrollment year.