

## Item 1 Cover Page

A.

### **Robert C. Swift**

TCI Wealth Advisors, Inc.

ADV Part 2B, Brochure Supplement

Dated: March 25, 2019

Contact: Catherine Nichols, Esq., Chief Compliance Officer  
4011 East Sunrise Drive  
Tucson, Arizona 85718  
[www.tciwealth.com](http://www.tciwealth.com)

B.

**This Brochure Supplement provides information about Robert C. Swift that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.'s Brochure or if you have any questions about the contents of this supplement.**

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

## **Item 2 Education Background and Business Experience**

Robert C. Swift was born in 1954. Mr. Swift graduated from The University of Kansas in 1976, with a degree in Education. Since February 2015, Mr. Swift has been an investment adviser representative of TCI Wealth Advisors, Inc. From January 2011 to February 2015, Mr. Swift served as the CEO of TCI Wealth Advisors, Inc. Mr. Swift also served as President of TCI Wealth Advisors, Inc. from January 1990 to January 2011.

## **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

#### **Item 5 Additional Compensation**

None.

#### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the requirements of supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 ("*Act*"). The Registrant's Chief Compliance Officer, Catherine Nichols, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee or investment adviser representative of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Nichols at (520) 733-1477.

**Item 1 Cover Page**

A.

**Kenneth G. Riebe**

TCI Wealth Advisors, Inc.

ADV Part 2B, Brochure Supplement

Dated: March 25, 2019

Contact: Catherine Nichols, Esq., Chief Compliance Officer  
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Tucson, Arizona 85718  
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B.

**This Brochure Supplement provides information about Kenneth G. Riebe that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.'s Brochure or if you have any questions about the contents of this supplement.**

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

**Item 2 Education Background and Business Experience**

Kenneth G. Riebe was born in 1959. Mr. Riebe graduated from The University of Arizona in 1982, with a degree in Business. Mr. Riebe has been an investment adviser representative of TCI Wealth Advisors, Inc. since January 1992, and also served as a Vice President of TCI Wealth Advisors, Inc. between January 1992 and 2008.

**Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

#### **Item 5 Additional Compensation**

None.

#### **Item 6 Supervision**

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## Item 1 Cover Page

A.

### **John J. Stephens**

TCI Wealth Advisors, Inc.

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**This Brochure Supplement provides information about John J. Stephens that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.'s Brochure or if you have any questions about the contents of this supplement.**

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

## Item 2 Education Background and Business Experience

John J. Stephens was born in 1960. Mr. Stephens graduated from Stanford University in 1982, with a degree in Biology. Mr. Stephens graduated from The University of Arizona in 1986, with his Medical doctorate degree and from Arizona State University in 1999, with his Masters of Business Administration degree. Mr. Stephens has been an investment adviser representative of TCI Wealth Advisors, Inc. since January 2000. In May 2016 Mr. Stephens became the Chief Executive Officer of TCI Wealth Advisors. He served as the Vice President of TCI Wealth Advisors, Inc. from January 2000 through 2008, and as the Chairman of the Board of Directors of TCI Wealth Advisors, Inc. from April 2015 to May 2016.

Mr. Stephens been a CFA<sup>®</sup> Charter Holder since 2001. CFA<sup>®</sup> designates an international professional certificate that is offered by the CFA Institute. The Chartered Financial Analyst

(CFA) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

The Chartered Financial Analyst (CFA) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

There are currently more than 154,000 CFA charter holders working in 165 countries. To earn the CFA charter, candidates must: (1) pass three sequential, six-hour examinations; (2) have at least four years of qualified professional investment experience; (3) join CFA Institute as members; and (4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

### **High Ethical Standards**

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charter holders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

### **Global Recognition**

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA charterholders—often making the charter a prerequisite for employment. Additionally, regulatory bodies in 23 countries/territories recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 125 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

### **Comprehensive and Current Knowledge**

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

Mr. Stephens has been a CERTIFIED FINANCIAL PLANNER™ since 2002. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

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 83,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must currently 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 6 hours, 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.

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

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## Item 1 Cover Page

A.

### **Douglas L. Nelson**

TCI Wealth Advisors, Inc.

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Dated: March 25, 2019

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4011 East Sunrise Drive  
Tucson, Arizona 85718  
[www.tciwealth.com](http://www.tciwealth.com)

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**This Brochure Supplement provides information about Douglas L. Nelson that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.’s Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Douglas L. Nelson is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 Education Background and Business Experience

Douglas L. Nelson was born in 1957. Mr. Nelson graduated from California State University at Humboldt in 1980, with a degree in Business Administration. Mr. Nelson has been employed as an investment adviser representative of TCI Wealth Advisors, Inc. since January of 2008. From November 1994 to January of 2008 Mr. Nelson served as President of AQN Advisors, Inc. From November 1994 to January of 2009 Mr. Nelson served as investment adviser representative of Ashley Quinn CPAs.

Mr. Nelson has held the designation of Certified Public Accountant (“CPA”) since 1982. CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a

concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two year period or 120 hours over a three year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA's *Code of Professional Conduct* within their state accountancy laws or have created their own.

Mr. Nelson has held the designation of Personal Financial Specialist ("PFS") since 1993. The PFS credential demonstrates that an individual has met the minimum education, experience and testing required of a CPA in addition to a minimum level of expertise in personal financial planning. To attain the PFS credential, a candidate must hold an unrevoked CPA license, fulfill 3,000 hours of personal financial planning business experience, complete 80 hours of personal financial planning CPE credits, pass a comprehensive financial planning exam and be an active member of the AICPA. A PFS credential holder is required to adhere to AICPA's *Code of Professional Conduct*, and is encouraged to follow AICPA's *Statement on Responsibilities in Financial Planning Practice*. To maintain their PFS credential, the recipient must complete 60 hours of financial planning CPE credits every three years. The PFS credential is administered through the AICPA.

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

None.

## **Item 6 Supervision**

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## Item 1 Cover Page

A.

**Michael A. Grosso**

TCI Wealth Advisors, Inc.

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Dated: March 25, 2019

Contact: Catherine Nichols, Esq., Chief Compliance Officer

4011 East Sunrise Drive

Tucson, Arizona 85718

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**This Brochure Supplement provides information about Michael A. Grosso that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.'s Brochure or if you have any questions about the contents of this supplement.**

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

## Item 2 Education Background and Business Experience

Michael A. Grosso was born in 1975. Mr. Grosso graduated from Arizona State University in 1997, with a degree in Finance and Marketing. Mr. Grosso has been employed as an investment adviser representative of TCI Wealth Advisors, Inc. since April of 2008. From February 2007 to July 2015, Mr. Grosso was the owner of CMG Solutions, LLC. From July of 1997 to March of 2008 Mr. Grosso was employed as a consultant of Charles Schwab & Company.

Mr. Grosso has been a CERTIFIED FINANCIAL PLANNER™ since 2008. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

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 83,000 individuals have obtained CFP® certification in the United States.

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- 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.

### **Item 3 Disciplinary Information**

None.

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

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### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

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## Item 1 Cover Page

A.

### **Samuel T. Swift**

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**This Brochure Supplement provides information about Samuel T. Swift that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.'s Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Samuel T. Swift is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## **Item 2 Education Background and Business Experience**

Samuel T. Swift was born in 1983. Mr. Swift graduated from The University of Arizona Eller School of Business in 2006, with a degree in Finance. Mr. Swift has been employed as an investment adviser representative of TCI Wealth Advisors, Inc. since September of 2006.

Mr. Swift been a CFA<sup>®</sup> Charter Holder since 2010. CFA<sup>®</sup> designates an international professional certificate that is offered by the CFA Institute.

The Chartered Financial Analyst (CFA) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

There are currently more than 154,000 CFA charter holders working in 165 countries. To earn the CFA charter, candidates must: (1) pass three sequential, six-hour examinations; (2) have at least four years of qualified professional investment experience; (3) join CFA Institute as members; and (4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

### **High Ethical Standards**

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### **Global Recognition**

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### **Comprehensive and Current Knowledge**

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The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

Mr. Swift has been a CERTIFIED FINANCIAL PLANNER™ since December 20, 2013. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

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

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- 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.

Mr. Swift has held the designation of Accredited Investment Fiduciary® (AIF®) since March 2017. The AIF Designation certifies that the recipient has specialized knowledge of fiduciary

standards of care and their application to the investment management process. To receive the AIF Designation, the individual must meet prerequisite criteria based on a combination of education, relevant industry experience, and/or ongoing professional development, complete a training program, successfully pass a comprehensive, closed-book final examination under the supervision of a proctor and agree to abide by the Code of Ethics and Conduct Standards. In order to maintain the AIF Designation, the individual must annually attest to the Code of Ethics and Conduct Standards, and accrue and report a minimum of six hours of continuing education. The Designation is administered by the Center for Fiduciary Studies, the standards-setting body of fi360.

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

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A.

### **Michael Abeshaus**

TCI Wealth Advisors, Inc.

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**Additional information about Michael Abeshaus is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## **Item 2 Education Background and Business Experience**

Michael Abeshaus was born in 1960. Mr. Abeshaus graduated from Franklin & Marshall College in 1982, with a degree in Mathematics. Mr. Abeshaus graduated from The University of Arizona in 1986, with a Medical Doctorate degree. Mr. Abeshaus completed his Orthopaedic Residency at Texas Tech University in 1991. Mr. Abeshaus has been employed as an investment adviser representative of TCI Wealth Advisors, Inc. since January of 2009. From November 1991 to December of 2008 Mr. Abeshaus served as a Partner and CEO of Northern Arizona Orthopaedics.

Mr. Abeshaus has been a CERTIFIED FINANCIAL PLANNER™ since June 15, 2012. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

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 83,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must currently 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 6 hours, 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.

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the requirements of supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 ("*Act*"). The Registrant's Chief Compliance Officer, Catherine Nichols, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee or investment adviser representative of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Nichols at (520) 733-1477.

**Item 1 Cover Page**

A.

**Justin M. Thomas**

TCI Wealth Advisors, Inc.

ADV Part 2B, Brochure Supplement

Dated: March 25, 2019

Contact: Catherine Nichols, Esq., Chief Compliance Officer  
4011 East Sunrise Drive  
Tucson, Arizona 85718  
[www.tciwealth.com](http://www.tciwealth.com)

B.

**This Brochure Supplement provides information about Justin M. Thomas that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.’s Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Justin M. Thomas is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

**Item 2 Education Background and Business Experience**

Justin M. Thomas was born in 1975. Mr. Thomas graduated from The College of William & Mary in 1998, with a degree in Kinesiology. Mr. Thomas has been employed as an investment adviser representative of TCI Wealth Advisors, Inc. since February of 2010. From November 2006 to January of 2010 Mr. Thomas was employed as an investment adviser representative and registered representative of First Command Financial Planning, Inc. From January of 2007 to January of 2010 Mr. Thomas was employed as an insurance agent of First Command Financial Services, Inc.

Mr. Thomas has been a CERTIFIED FINANCIAL PLANNER™ since 2011. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (collectively, the “CFP®

marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

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- 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.

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

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## Item 1 Cover Page

A.

### **Guy Wesley Holman**

TCI Wealth Advisors, Inc.

ADV Part 2B, Brochure Supplement

Dated: March 25, 2019

Contact: Catherine Nichols, Esq., Chief Compliance Officer  
4011 East Sunrise Drive  
Tucson, Arizona 85718  
[www.tciwealth.com](http://www.tciwealth.com)

B.

**This Brochure Supplement provides information about Guy Wesley Holman that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.’s Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Guy Wesley Holman is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## **Item 2 Education Background and Business Experience**

Guy Wesley Holman was born in 1962. Mr. Holman graduated from Lafayette College in 1984, with a degree in Economics and Business. Mr. Holman has been employed as an investment adviser representative of TCI Wealth Advisors, Inc. since October of 2010. From September of 2006 to September of 2010 Mr. Holman was employed as an investment adviser representative of First Western Investment Advisors, LLC. From August of 1998 to September of 2006 Mr. Holman was employed as an investment adviser representative of Reber/Russell Company.

Mr. Holman has been a CERTIFIED FINANCIAL PLANNER™ since 1998. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

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- 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.

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

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**Item 1 Cover Page**

A.

**David A Niichel**

TCI Wealth Advisors, Inc.

ADV Part 2B, Brochure Supplement

Dated: March 25, 2019

Contact: Catherine Nichols, Esq., Chief Compliance Officer  
4011 East Sunrise Drive  
Tucson, Arizona 85718  
www.tciwealth.com

B.

**This Brochure Supplement provides information about David A Niichel that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.’s Brochure or if you have any questions about the contents of this supplement.**

**Additional information about David A Niichel is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

**Item 2 Education Background and Business Experience**

David A Niichel was born in 1965. Mr. Niichel graduated from Washington State University in 1988, with a Bachelor of Arts degree in Finance. Mr. Niichel has been employed as an investment adviser representative of TCI Wealth Advisors, Inc. since March of 2013. From July of 2004 to March of 2013 Mr. Niichel was employed in medical sales for Medtronic.

Mr. Niichel has been a CERTIFIED FINANCIAL PLANNER™ since November 2015. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

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- 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.

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### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

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## Item 1 Cover Page

A.

### **Samantha M. Van Denburgh**

TCI Wealth Advisors, Inc.

ADV Part 2B, Brochure Supplement

Dated: March 25, 2019

Contact: Catherine Nichols, Esq., Chief Compliance Officer  
4011 East Sunrise Drive  
Tucson, Arizona 85718  
[www.tciwealth.com](http://www.tciwealth.com)

B.

**This Brochure Supplement provides information about Samantha M. Van Denburgh that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.’s Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Samantha M. Van Denburgh is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 Education Background and Business Experience

Samantha M. Van Denburgh was born in 1988. Ms. Van Denburgh graduated from Washington & Lee University in 2010, with a Bachelor of Science degree in Business Administration and Spanish. Ms. Van Denburgh has been an investment adviser representative of TCI Wealth Advisors, Inc. since August of 2014. From October of 2013 to April of 2014, Ms. Van Denburgh was a lead adviser at Hemington Wealth Management, LLC. From August of 2010 to September of 2013, Ms. Van Denburgh was a client service associate at Mclean Asset Management Corp.

Ms. Van Denburgh has been a CERTIFIED FINANCIAL PLANNER™ since 2013. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

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### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

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## Item 1 Cover Page

A.

### **Marc D. Campbell**

TCI Wealth Advisors, Inc.

ADV Part 2B, Brochure Supplement

Dated: March 25, 2019

Contact: Catherine Nichols, Esq., Chief Compliance Officer  
4011 East Sunrise Drive  
Tucson, Arizona 85718  
[www.tciwealth.com](http://www.tciwealth.com)

B.

**This Brochure Supplement provides information about Marc D. Campbell that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.'s Brochure or if you have any questions about the contents of this supplement.**

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

## Item 2 Education Background and Business Experience

Marc D. Campbell was born in 1974. Mr. Campbell graduated from Hamilton College in 1997, with a Bachelor of Arts degree in Psychology and from UCLA at Anderson in 2003 with a Masters degree in Business Administration. Mr. Campbell has been an investment adviser representative of TCI Wealth Advisors, Inc. since January of 2014. From March of 2010 to January of 2014, Mr. Campbell was a senior associate at Dimensional Fund Advisors LP. From January of 2009 to February of 2010, Mr. Campbell was a Principal of Online Content Group. From July of 2006 to December of 2008, Mr. Campbell was a Principal of the Independent Comedy Network.

Mr. Campbell has been a CERTIFIED FINANCIAL PLANNER™ since July 2015. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (collectively, the

“CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

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### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

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## Item 1 Cover Page

A.

**Robert M. Sullivan**

TCI Wealth Advisors, Inc.

ADV Part 2B, Brochure Supplement

Dated: March 25, 2019

Contact: Catherine Nichols, Esq., Chief Compliance Officer  
4011 East Sunrise Drive  
Tucson, Arizona 85718  
[www.tciwealth.com](http://www.tciwealth.com)

B.

**This Brochure Supplement provides information about Robert M. Sullivan that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.'s Brochure or if you have any questions about the contents of this supplement.**

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

## Item 2 Education Background and Business Experience

Robert M. Sullivan was born in 1956. Mr. Sullivan graduated from The University of Arizona in 1978, with a Bachelor of Science in Business Administration degree in Finance. Since March 2015, Mr. Sullivan has been an investment adviser representative of TCI Wealth Advisors, Inc. From March 1994 to March 2015, Mr. Sullivan was the regional investment manager for BMO Harris Private Bank.

Mr. Sullivan has been a CFA<sup>®</sup> Charter Holder since 1985. CFA<sup>®</sup> designates an international professional certificate that is offered by the CFA Institute.

The Chartered Financial Analyst (CFA) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

There are currently more than 154,000 CFA charter holders working in 165 countries. To earn the CFA charter, candidates must: (1) pass three sequential, six-hour examinations; (2) have at least four years of qualified professional investment experience; (3) join CFA Institute as members; and (4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

### **High Ethical Standards**

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charter holders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

### **Global Recognition**

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA charterholders—often making the charter a prerequisite for employment. Additionally, regulatory bodies in 23 countries/territories recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 125 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

### **Comprehensive and Current Knowledge**

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the requirements of supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 ("*Act*"). The Registrant's Chief Compliance Officer, Catherine Nichols, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee or investment adviser representative of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Nichols at (520) 733-1477.

## Item 1 Cover Page

A.

**Dana M. Sandoval**

TCI Wealth Advisors, Inc.

ADV Part 2B, Brochure Supplement

Dated: March 25, 2019

Contact: Catherine Nichols, Esq., Chief Compliance Officer  
4011 East Sunrise Drive  
Tucson, Arizona 85718  
[www.tciwealth.com](http://www.tciwealth.com)

B.

**This Brochure Supplement provides information about Dana M. Sandoval that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.'s Brochure or if you have any questions about the contents of this supplement.**

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

## Item 2 Education Background and Business Experience

Dana M. Sandoval was born in 1958. Ms. Sandoval graduated from Colorado State University in 1981, with a Bachelor of Science degree in Economics. Since January 2015, Ms. Sandoval has been an investment adviser representative of TCI Wealth Advisors, Inc. From October 2010 to January 2015, Ms. Sandoval was an associate of TCI Wealth Advisors, Inc. From September 2006 to October 2010, Ms. Sandoval was a wealth planning advisor at First Western Financial, Inc.

Ms. Sandoval has been a CERTIFIED FINANCIAL PLANNER™ since 2003. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (collectively, the "CFP®

marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

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 83,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must currently 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 6 hours, 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.

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the requirements of supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 ("*Act*"). The Registrant's Chief Compliance Officer, Catherine Nichols, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee or investment adviser representative of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Nichols at (520) 733-1477.

**Item 1 Cover Page**

A.

**Jennifer Means**

TCI Wealth Advisors, Inc.

ADV Part 2B, Brochure Supplement

Dated: March 25, 2019

Contact: Catherine Nichols, Esq., Chief Compliance Officer  
4011 East Sunrise Drive  
Tucson, Arizona 85718  
www.tciwealth.com

B.

**This Brochure Supplement provides information about Jennifer Means that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.'s Brochure or if you have any questions about the contents of this supplement.**

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

**Item 2 Education Background and Business Experience**

Jennifer Means was born in 1986. Ms. Means graduated from the University of Nevada at Reno in 2008, with a Bachelor of Science degree in Finance with a Minor in Accounting. Ms. Means has been an investment adviser representative of TCI Wealth Advisors, Inc. since December of 2013. From March 2009 to December 2013, Ms Means was a loan underwriter at FreedomRoad Financial.

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the requirements of supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 ("*Act*"). The Registrant's Chief Compliance Officer, Catherine Nichols, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee or investment adviser representative of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Nichols at (520) 733-1477.

## Item 1 Cover Page

A.

### **Lori A. Booth-Houle**

TCI Wealth Advisors, Inc.

ADV Part 2B, Brochure Supplement

Dated: March 25, 2019

Contact: Catherine Nichols, Esq., Chief Compliance Officer  
4011 East Sunrise Drive  
Tucson, Arizona 85718  
[www.tciwealth.com](http://www.tciwealth.com)

B.

**This Brochure Supplement provides information about Lori A. Booth-Houle that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.’s Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Lori A. Booth-Houle is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## **Item 2 Education Background and Business Experience**

Lori A. Booth-Houle was born in 1963. Ms. Booth-Houle graduated from Johnson State College in 1992, with a Bachelor of Science degree in Accounting. Since January 2016, Ms. Booth-Houle has been a Shareholder and an investment adviser representative of TCI Wealth Advisors, Inc. From January 2015 to January 2016, Ms. Booth-Houle was a Shareholder of Moss Booth Wealth Advisor, Inc. and from May 2009 to December 2014, she was a Member of Moss Booth Wealth Advisors, LLC.

Ms. Booth-Houle has been a CERTIFIED FINANCIAL PLANNER™ since 2004. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

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 83,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must currently 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 6 hours, 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.

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the requirements of supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 ("*Act*"). The Registrant's Chief Compliance Officer, Catherine Nichols, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee or investment adviser representative of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Nichols at (520) 733-1477.

## Item 1 Cover Page

A.

### **William D. Moss**

TCI Wealth Advisors, Inc.

ADV Part 2B, Brochure Supplement

Dated: March 25, 2019

Contact: Catherine Nichols, Esq., Chief Compliance Officer  
4011 East Sunrise Drive  
Tucson, Arizona 85718  
[www.tciwealth.com](http://www.tciwealth.com)

B.

**This Brochure Supplement provides information about William D. Moss that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.’s Brochure or if you have any questions about the contents of this supplement.**

**Additional information about William D. Moss is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## **Item 2 Education Background and Business Experience**

William D. Moss was born in 1955. Mr. Moss graduated from Arizona State University in 1978, with a Bachelor of Science degree in Accountancy. Since January 2016, Mr. Moss has been a shareholder and an investment adviser representative of TCI Wealth Advisors, Inc. From January 2015 to January 2016, Mr. Moss was a Shareholder and the Chief Compliance Officer of Moss Booth Wealth Advisor, Inc. and from May 2009 to December 2014, he was a Member and the Chief Compliance Officer of Moss Booth Wealth Advisors, LLC.

Mr. Moss has held the designation of Personal Financial Specialist (“PFS”) since 1997. The PFS credential demonstrates that an individual has met the minimum education, experience and testing required of a CPA in addition to a minimum level of expertise in personal financial planning. To attain the PFS credential, a candidate must hold an unrevoked CPA license,

certificate, or permit, none of which are in inactive status; fulfill 3,000 hours of personal financial planning business experience; complete 75 hours of personal financial planning CPE credits; pass a comprehensive financial planning exam and be an active member of the AICPA. A PFS credential holder is required to adhere to AICPA's *Code of Professional Conduct* and the *Statement on Standards in Personal Financial Planning Services*, when providing personal financial planning services<sup>4</sup>. To maintain their PFS credential, the recipient must complete 60 hours of financial planning CPE credits every three years. The PFS credential is administered through the [AICPA](#).

Mr. Moss has held the designation of Certified Public Accountant ("CPA") since 1981. CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college [education](#) (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum [experience](#) levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two-year period or 120 hours over a three-year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA's *Code of Professional Conduct* within their state accountancy laws or have created their own.

In addition to the *Code of Professional Conduct*, AICPA members who provide personal financial planning services are required to follow the *Statement on Standards in Personal Financial Planning Services* (SSPFPS).

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

## **Item 5 Additional Compensation**

None.

## **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the requirements of supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 ("*Act*"). The Registrant's Chief Compliance Officer, Catherine Nichols, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee or investment adviser representative of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Nichols at (520) 733-1477.

**Item 1 Cover Page**

A.

**Kyle T. Larson**

TCI Wealth Advisors, Inc.

ADV Part 2B, Brochure Supplement

Dated: March 25, 2019

Contact: Catherine Nichols, Esq., Chief Compliance Officer

4011 East Sunrise Drive

Tucson, Arizona 85718

[www.tciwealth.com](http://www.tciwealth.com)

B.

**This Brochure Supplement provides information about Kyle T. Larson that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.'s Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Kyle T. Larson is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

**Item 2 Education Background and Business Experience**

Kyle T. Larson was born in 1990. Mr. Larson graduated Summa Cum Laude from The University of Arizona in 2013, with a Bachelor of Science degree in Physiology and a minor in Sports Management. Mr. Larson has been an investment adviser representative of TCI Wealth Advisors, Inc. since November 2015. From August 2014 to June 2015, Mr. Larson was a medical scribe at Urological Associates of Southern Arizona and from August 2013 to July 2014, he was a medical scribe at Northwest & Oro Valley Hospitals.

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the requirements of supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 ("*Act*"). The Registrant's Chief Compliance Officer, Catherine Nichols, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee or investment adviser representative of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Nichols at (520) 733-1477.

**Item 1 Cover Page**

A.

**Scott Bennett**

TCI Wealth Advisors, Inc.

ADV Part 2B, Brochure Supplement  
Dated: March 25, 2019

Contact: Catherine Nichols, Esq., Chief Compliance Officer  
4011 East Sunrise Drive  
Tucson, Arizona 85718  
www.tciwealth.com

B.

**This Brochure Supplement provides information about Scott Bennett that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.'s Brochure or if you have any questions about the contents of this supplement.**

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

**Item 2 Education Background and Business Experience**

Scott Bennett was born in 1988. Mr. Bennett graduated from Northern Arizona University in 2011, with a Bachelor of Science degree in Economics. Mr. Bennett has been a paraplanner of TCI Wealth Advisors, Inc. since April 2016. Since May 2018, Mr. Bennett has also been the Executive Director of the TCI Center For Personal Finance. From June 2012 to April 2016, Mr. Bennett was an account executive at Outfront Media. From August 2011 to June 2012, he was a corps member of City Year.

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the requirements of supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 ("*Act*"). The Registrant's Chief Compliance Officer, Catherine Nichols, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee or investment adviser representative of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Nichols at (520) 733-1477.

**Item 1 Cover Page**

A.

**Scott Styrmo**

TCI Wealth Advisors, Inc.

ADV Part 2B, Brochure Supplement  
Dated: March 25, 2019

Contact: Catherine Nichols, Esq., Chief Compliance Officer  
4011 East Sunrise Drive  
Tucson, Arizona 85718  
www.tciwealth.com

B.

**This Brochure Supplement provides information about Scott Styrmo that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.'s Brochure or if you have any questions about the contents of this supplement.**

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

**Item 2 Education Background and Business Experience**

Scott Styrmo was born in 1955. Mr. Styrmo graduated from the University of Arizona in 1978, with a Bachelor of Science degree in Business Administration and in 1991, with a Master of Business Administration degree in Finance and Marketing. Mr. Styrmo has been an investment adviser representative of TCI Wealth Advisors, Inc. since September 2017. From January 2017 to October 2017, Mr. Styrmo was the President of AZ Wealth Strategies, Inc. From February 2012 to January 2017, Mr. Styrmo was the Managing Member of AZ Wealth Strategies, LLC.

Mr. Styrmoen has been a CERTIFIED FINANCIAL PLANNER™ since 2009. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

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 83,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must currently 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 6 hours, 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 currently 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.

Mr. Styrmoie has held the designation of Certified Public Accountant ("CPA") since 1985. CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two-year period or 120 hours over a three-year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA's *Code of Professional Conduct* within their state accountancy laws or have created their own.

In addition to the *Code of Professional Conduct*, AICPA members who provide personal financial planning services are required to follow the *Statement on Standards in Personal Financial Planning Services* (SSPFPS).

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. **Certified Public Accountant.** Mr. Styrmoie is a Certified Public Accountant and shareholder of AWS, LLC ("AWS"). To the extent that Mr. Styrmoie provides accounting and/or tax preparation services to any clients, including clients of TCI Wealth Advisors, Inc., all such services shall be performed by AWS, in its individual professional capacity, independent of TCI Wealth Advisors, Inc., for which services TCI Wealth Advisors, Inc. shall not receive any portion of the fees charged by AWS, referral or otherwise. It is expected that the shareholders of AWS, solely incidental to their respective practices as Certified Public

Accountants, shall recommend TCI Wealth Advisors, Inc.'s services to certain of its clients. AWS is not involved in providing investment advice on behalf of TCI Wealth Advisors, Inc., nor does AWS hold itself out as providing advisory services on behalf of the Registrant. **No client of TCI Wealth Advisors, Inc. is under any obligation to use the services of AWS.**

#### **Item 5 Additional Compensation**

None.

#### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the requirements of supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 ("*Act*"). The Registrant's Chief Compliance Officer, Catherine Nichols, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee or investment adviser representative of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Nichols at (520) 733-1477.

## Item 1 Cover Page

A.

**Vanessa B. Lee**

TCI Wealth Advisors, Inc.

ADV Part 2B, Brochure Supplement

Dated: March 25, 2019

Contact: Catherine Nichols, Esq., Chief Compliance Officer  
4011 East Sunrise Drive  
Tucson, Arizona 85718  
[www.tciwealth.com](http://www.tciwealth.com)

B.

**This Brochure Supplement provides information about Vanessa B. Lee that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.’s Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Vanessa B. Lee is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 Education Background and Business Experience

Vanessa B. Lee was born in 1965. Ms. Lee graduated from the University of Arizona in 1988, with a Bachelor of Arts degree in Political Science and History and in 1991, with a Master of Business Administration degree. Ms. Lee has been a senior paraplanner at TCI Wealth Advisors, Inc. since August of 2017. From November 2014 to August 2017, Ms. Lee was a senior tax accountant and a financial adviser at Vestepointe Wealth Management, LLC. From September 2006 to October 2014, Ms. Lee was a tax accountant at Nancy Teff, CPA PC.

Ms. Lee has been a CERTIFIED FINANCIAL PLANNER™ since 2016. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

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 83,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must currently 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 6 hours, 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.

Ms. Lee has held the designation of Certified Public Accountant (“CPA”) since 1993. CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two-year period or 120 hours over a three-year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA’s *Code of Professional Conduct* within their state accountancy laws or have created their own.

In addition to the *Code of Professional Conduct*, AICPA members who provide personal financial planning services are required to follow the *Statement on Standards in Personal Financial Planning Services* (SSPFPS).

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant’s policies and procedures manual. The primary purpose of the Registrant’s Rule

206(4)-7 policies and procedures is to comply with the requirements of supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (“*Act*”). The Registrant’s Chief Compliance Officer, Catherine Nichols, is primarily responsible for the implementation of the Registrant’s policies and procedures and overseeing the activities of the Registrant’s supervised persons. Should an employee or investment adviser representative of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant’s supervision or compliance practices, please contact Ms. Nichols at (520) 733-1477.

**Item 1 Cover Page**

A.

**Chad W. Lawyer**

TCI Wealth Advisors, Inc.

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Dated: March 25, 2019

Contact: Catherine Nichols, Esq., Chief Compliance Officer

4011 East Sunrise Drive

Tucson, Arizona 85718

[www.tciwealth.com](http://www.tciwealth.com)

B.

**This Brochure Supplement provides information about Chad W. Lawyer that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.'s Brochure or if you have any questions about the contents of this supplement.**

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

**Item 2 Education Background and Business Experience**

Chad W. Lawyer was born in 1983. Mr. Lawyer graduated from Scottsdale Community College in 2009, with an Associate degree in Architectural Technology and in 2010, with a Bachelor of Science degree in Public Management. Mr. Lawyer has been an investment adviser representative of TCI Wealth Advisors, Inc. since May 2018. From February 2017 to April 2018, Mr. Lawyer was an associate advisor at CAVU Wealth Advisors. From September 2013 to February 2017, Mr. Lawyer was an associate at Charles Schwab & Co., Inc. From November 2012 to September 2013, Mr. Lawyer was an associate at RANDSTAD.

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the requirements of supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 ("*Act*"). The Registrant's Chief Compliance Officer, Catherine Nichols, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee or investment adviser representative of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Nichols at (520) 733-1477.

**Item 1 Cover Page**

A.

**Justin R. Rodriguez**

TCI Wealth Advisors, Inc.

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Dated: March 25, 2019

Contact: Catherine Nichols, Esq., Chief Compliance Officer

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Tucson, Arizona 85718

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**This Brochure Supplement provides information about Justin R. Rodriguez that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.'s Brochure or if you have any questions about the contents of this supplement.**

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

**Item 2 Education Background and Business Experience**

Justin R. Rodriguez was born in 1992. Mr. Rodriguez graduated from Arizona State University in 2014, with Bachelor of Science degrees in both Finance and Accountancy. Mr. Rodriguez has been an investment adviser representative of TCI Wealth Advisors, Inc. since May 2018. From April 2015 to April 2018, Mr. Rodriguez was a registered representative and investment adviser representative with Next Financial Group, Inc. From July 2014 to March 2015, Mr. Rodriguez was a financial analyst with The Boeing Company and from June 2013 to September 2013, he was a financial intern.

Mr. Rodriguez has been a CERTIFIED FINANCIAL PLANNER™ since 2018. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

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 83,000 individuals have obtained CFP® certification in the United States.

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- Examination – Pass the comprehensive CFP® Certification Examination. The examination, administered in 6 hours, 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.

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the requirements of supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 ("Act"). The Registrant's Chief Compliance Officer, Catherine Nichols, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee or investment adviser representative of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Nichols at (520) 733-1477.

## Item 1 Cover Page

A.

### **Cody A. Cassidy**

TCI Wealth Advisors, Inc.

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Dated: March 25, 2019

Contact: Catherine Nichols, Esq., Chief Compliance Officer

4011 East Sunrise Drive

Tucson, Arizona 85718

[www.tciwealth.com](http://www.tciwealth.com)

B.

**This Brochure Supplement provides information about Cody A. Cassidy that supplements the TCI Wealth Advisors, Inc. Brochure. You should have received a copy of that Brochure. Please contact Catherine Nichols, Chief Compliance Officer, if you did *not* receive TCI Wealth Advisors, Inc.'s Brochure or if you have any questions about the contents of this supplement.**

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

## Item 2 Education Background and Business Experience

Cody A. Cassidy was born in 1986. Mr. Cassidy graduated from the University of Arizona in 2008, with a Bachelor of Arts degree in Communication and in 2010, with a Master degree in Communication. Mr. Cassidy has been a Financial Planning Associate of TCI Wealth Advisors, Inc. since May 2018. From January 2017 to May 2018, Mr. Cassidy was the Director of External Relations and Information Systems at the University of Arizona Cancer Center. From July 2015 to December 2016, Mr. Cassidy was the Director of Communications and Public Affairs at the University of Arizona Cancer Center. From October 2010 to July 2015, Mr. Cassidy was the Director of Communications at the Office of the Pima County School Superintendent.

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the requirements of supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 ("*Act*"). The Registrant's Chief Compliance Officer, Catherine Nichols, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee or investment adviser representative of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Nichols at (520) 733-1477.