

SUPERVISED PERSON BROCHURE
Part 2B of Form ADV



Ethos Capital Group, LLC

Jay Frederick

3801 Woodland Heights Rd, Suite 125F
Little Rock, AR 72212
(501) 708-0210
www.ethoscapitalgroup.com
jay@ethoscapitalgroup.com

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This brochure supplement provides information about Jay Frederick and supplements the Ethos Capital Group, LLC brochure. You should have received a copy of that brochure. Please contact Jay Frederick if you did not receive the brochure or if you have any questions about the contents of this supplement.

Additional information about Jay Frederick (CRD# 4418720) is also available on the SEC's website at www.adviserinfo.sec.gov.

Supervised Person Brochure - Jay Frederick

Year of birth: 1978

Item 2 - Educational Background and Business Experience

Educational Background:

- BS Business Administration, Arkansas State University – 2001

Business Experience:

- Ethos Capital Group, LLC; Investment Advisor Representative/CCO; 04/2009 – Present

Professional Designations:

CFP® - Certified Financial Planner

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (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.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor’s Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board’s financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination 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: 2

- 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

Criminal or Civil Action: None to report

Administrative Proceeding: None to report

Self-Regulatory Proceeding: None to report

Item 4 - Other Business Activities Engaged In

Jay Frederick does not have any outside business activities to disclose.

Item 5 - Additional Compensation

Jay Frederick does not receive additional compensation, performance-based fees, nor receives any additional compensation for performing advisory services other than what is disclosed in Item 5 of Part 2A.

Item 6 - Supervision

Jay Frederick is the Chief Compliance Officer of Ethos, and therefore is solely responsible for all supervision and formulation and monitoring of investment advice offered to Clients.

Item 7 - Requirements for State-Registered Advisors

Arbitration Claims: None to report

Self-Regulatory Organization or Administrative Proceeding: None to report

Bankruptcy Petition: None to report