

**ADV 2B - Brochure Supplement**

**MARVIN MCCOY BROCK**

955 N. BREAZEALE AVE.  
MOUNT OLIVE, NC 28365  
Phone: 919-658-4997  
Fax: 919-658-8001

**Royal Alliance Associates**

10 Exchange Place  
Suite 1410  
Jersey City, NJ 07302  
Phone: 800-821-5100

05/02/2017

This brochure supplement provides clients with information about MARVIN BROCK that supplements the Royal Alliance Associates disclosure brochure. Please contact James Edward Armstrong, OSJ Manager at 919-263-8603 or Royal Alliance Associates at the firm phone number above, if you did not receive a copy of the Royal Alliance Associates disclosure brochure or if you have any questions about the contents of this brochure supplement. Additional information about MARVIN BROCK is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE**

MARVIN MCCOY BROCK

Year of Birth: 1949

### **Education**

William Carter College, Bachelors Degree, Theology, 1975

University of Pennsylvania, CEBS, 1987

### **Business Experience**

Investment Advisor Representative, Royal Alliance Associates, 2000-Present

### **Professional Licenses/Designations**

Series 6 - Investment Company and Variable Contracts Exam (Mutual Funds/Variable Annuities)

To obtain the Series 6 an initial qualifying exam administered by the Financial Industry Regulatory Authority ("FINRA") must be passed. Continuing Education requirement include attending an Annual Compliance Meeting and Firm Element Training. Also required to be taken is a computer based program within 120 days of the second anniversary of obtaining the registration and every three years thereafter.

Series 63 - Uniform Securities Agent State Law Exam

To obtain the Series 63 an initial qualifying exam administered by the Financial Industry Regulatory Authority ("FINRA") must be passed. Continuing Education requirement include attending an Annual Compliance Meeting and Firm Element Training. Also required to be taken is a computer based program within 120 days of the second anniversary of obtaining the registration and every three years thereafter.

Series 65 - Uniform Registered Investment Adviser Law Exam (RIA)

To obtain the Series 65 an initial qualifying exam administered by the Financial Industry Regulatory Authority ("FINRA") must be passed. Continuing Education requirement include attending an Annual Compliance Meeting and Firm Element Training. Also required to be taken is a computer based program within 120 days of the second anniversary of obtaining the registration and every three years thereafter.

Certified Employee Benefit Specialist (CEBS)

The CEBS designation signifies completion of a rigorous employee benefits curriculum. The CMS, GBA and RPA designations require successful completion of three examinations within the CEBS curriculum. Like the CEBS designation, the GBA, RPA and CMS designations are awarded by the International Foundation of Employee Benefit Plans and the Wharton School of the University of Pennsylvania. This designation offers the opportunity to earn designations in three distinct areas of specialization: group benefits, retirement and compensation. The Group Benefits Associate (GBA), Retirement Plans Associate (RPA) and the Compensation Management Specialist (CMS) form the core of the CEBS curriculum. Earn a designation in each of the specialty tracks and, at the same time, receive credit that will qualify toward earning the CEBS designation, which carries an eight-course requirement (six required courses plus two electives.)

### **DISCIPLINARY INFORMATION**

I have no material disciplinary events to report.

### **OTHER BUSINESS ACTIVITIES**

Your advisor is also a registered representative of Royal Alliance Associates. As such, your advisor may

recommend the purchase of securities from Royal Alliance Associates. If you purchase securities from Royal Alliance Associates, your advisor will receive commissions on the sale of investment products and in certain instances receive ongoing 12b-1 fees, in addition to the receipt of advisory fees for advisory services such as financial planning services.

Your advisor is also an insurance agent and receives commissions on the sale of insurance products and in certain instances, payments for the renewal of certain insurance products, in addition to advisory fees for advisory services, such as financial planning services.

These payments vary by insurance product and company and may provide different incentives depending on the amount of the renewal payment. In some instances, sales commissions from life insurance provide a higher deposit rate to registered representatives than investment products. As such, a registered representative may have a financial incentive to promote certain life insurance products over other investment products. While the firm and your financial advisor intend to provide recommendations of products and services they believe are suitable for you, you should carefully evaluate each product or service recommendation based on your own financial situation and investment objectives.

1. Team Financial Resources all insurance activity no conflict
2. Mt. Olive Housing Authority Chairman..no conflict
3. Rotary president no conflict

Please note that registered representative and insurance agent activities are reviewed and supervised by Royal Alliance Associates. This review includes transactions that you may conduct in your accounts based on specific recommendations to purchase products and/or services made by your registered representative.

With respect to certain other business activities unrelated to registered representative or certain insurance agent activities that your financial advisor may participate in, these activities are reviewed, and when appropriate approved in accordance with industry rules. While the firm may initially review these other business activities, these activities are not associated or in any way related to activity conducted by Royal Alliance Associates. Therefore, Royal Alliance Associates will not be responsible with respect to any recommendation or determination as to the suitability of your choice to participate in such activities. These other business activities may present certain conflicts of interest that you should be aware of and consider before participating in such activities. Please ask your financial advisor for further information.

## **ADDITIONAL COMPENSATION**

As discussed previously above, your advisor is a registered representative and may also be an insurance agent. In addition to the receipt of advisory fees, traditional commissions and ongoing 12b-1 fees, Royal Alliance Associates may pay bonuses based on a registered representative's overall product and/or service sales, including with respect to advisory business, conduct sales incentive contests or provide marketing payments to its financial advisors to the extent permitted under applicable law. As a result, these arrangements may create a conflict of interest. While Royal Alliance Associates and your financial advisor intend to provide recommendations of products and services they believe are suitable for you, you should carefully evaluate each product or service recommendation based on your own financial situation and investment objectives.

Financial advisors may receive compensation from someone other than a client for providing investment advice or other advisory services to clients by referring clients to other investment advisers. As such, there may be potential conflicts of interests with these arrangements, including situations where the compensation paid to the firm or the financial advisor differs based on the particular third-party adviser. Therefore, financial advisors may have an economic incentive to recommend one third-party adviser over another. Additionally, certain third-party advisers may provide reimbursements to financial advisors as an offset for marketing and seminar materials for the advisory products and services offered. These situations may also create conflicts of interest that you should carefully consider.

**SUPERVISION**

Royal Alliance Associates supervises the investment advisory services provided by its financial advisors through a variety of methods, including a review by a licensed principal prior to a client's enrollment in any investment advisory service or prior to any new account opening. This review is designed to ensure that the products and services offered and recommended to clients are appropriate based on the particular client's situation. Additionally, the Firm conducts periodic ongoing supervision related to its investment advisory services. These efforts, which vary in frequency, include review based on a number of different factors, including but not limited to specific account activity and changes in a client's financial situation or investment objectives.

The individual responsible for supervising MARVIN BROCK is James Edward Armstrong, OSJ Manager. James Edward Armstrong may be reached at 919-263-8603.