

Financial & Tax Architects, LLC

12412 Powerscourt Drive, Suite 25

Saint Louis, MO 63131

(314)-858-1122

[www.fta-ria.com](http://www.fta-ria.com)

Form ADV Part 2B

Ronald Mendoza

March 8, 2024

This brochure supplement provides information about Ronald Mendoza that supplements Financial & Tax Architects, LLC's brochure. You should have received a copy of that brochure. Please contact Tito Pombra, Chief Compliance Officer, if you did not receive Financial & Tax Architects, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Ronald Mendoza (CRD #6134217) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Brochure Supplement – Form ADV Part 2B**

Ronald Mendoza

Investment Advisor Representative

Year of Birth: 1970

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

Educational Background:

- N/A

Business Experience:

- New Day Financial & Insurance Services, Inc.; President & CEO; 01/2000 – Present
- Financial and Tax Architects, LLC; Investment Advisor Representative; 06/2019 – Present
- Brookstone Capital Management; Investment Adviser Representative; 01/2018 – 05/2019

### **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**

Ron Mendoza is the President of New Day Financial & Insurance Services, LLC, a California-based insurance agency. Mr. Mendoza spends approximately 50% of his time is spent in his insurance practice. In that capacity, he will provide advice on various insurance products. Mr. Mendoza only sells insurance products in states where he is properly licensed.

This practice represents a conflict of interest. There is a financial incentive for Mr. Mendoza to recommend products that pay him a commission or other compensation. The conflict mitigation steps include disclosures, the Code of Ethics, and Mr. Mendoza's fiduciary obligation to place the best interest of the client first. There is no obligation to purchase any commission based or other compensated products. Clients have the option to purchase any recommended products through the insurance agent of their choosing.

### **Item 5 Additional Compensation**

Mr. Mendoza does not receive additional compensation from his advisory activities. He does receive additional compensation from the outside business activities described above.

Mr. Mendoza is not paid performance-based fees.

### **Item 6 Supervision**

Tito Pombra is FTA's Chief Compliance Officer. Tito Pombra and FTA's senior management supervise the advisory activities of Mr. Mendoza. Tito Pombra can be reached by phone at 650-703-2159 or by email at [tpombra@outsourccecco.com](mailto:tpombra@outsourccecco.com).