

Financial & Tax Architects, LLC

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Form ADV Part 2B

Nick Rothrock

March 8, 2024

This brochure supplement provides information about Nick Rothrock 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 Nick Rothrock (CRD #7854823) is available on the SEC's website at www.adviserinfo.sec.gov.

Brochure Supplement (Part 2B of Form ADV)

Nick Rothrock

Investment Adviser Representative

Year of Birth: 1977

Item 2 Educational Background and Business Experience:

Educational Background:

- Arizona State University; Bachelor of Science in Marketing; 1999

Business Experience:

- Financial and Tax Architects, LLC; Investment Adviser Representative; 01/2024 – Present
- Self-employed; Producer (insurance); 08/2020 – Present
- Gosmer LLC; VP Sales; 02/2016 – 10/2020
- DTI/EPIQ; Sales; 05/2013 – 12/2017

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

Nick Rothrock is a licensed insurance agent. As part of this outside activity, Mr. Rothrock recommends insurance products and receives customary commissions from insurance sales.

This practice represents a conflict of interest. There is a financial incentive for Mr. Rothrock to recommend products that pay him a commission or other additional compensation. The conflict mitigation steps include client disclosures, the Code of Ethics, and Mr. Rothrock's fiduciary obligation to place the best interests of his client before his own. There is no obligation to purchase insurance products through Mr. Rothrock. The decision to purchase such products does not impact the availability or cost of advisory services.

Item 5 Additional Compensation

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

Mr. Rothrock 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. Rothrock. Tito Pombra can be reached by phone at 650-703-2159 or by email at tpombra@outsourccecco.com