



JAMES ERIC MULLINS, RICP®

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FORM ADV PART 2B

BROCHURE SUPPLEMENT

This brochure supplement provides information about J. Eric Mullins that supplements the Investments & Financial Planning, LLC brochure. You should have received a copy of that brochure. Contact us at 859-543-8188 if you did not receive Investments & Financial Planning, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about J. Eric Mullins (CRD # 4548105) is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background and Business Experience

J. Eric Mullins, RICP®

Year of Birth: 1976

Formal Education After High School:

- Morehead State University, BA Business Administration/Finance, 5/2002

Business Background:

- Investments & Financial Planning, LLC, Investment Adviser Representative, 6/2012 - Present
- Investments & Financial Planning, LLC, Managing Partner, 1/2012 - Present
- Securities America, Inc., Registered Representative, 9/2020 - 6/2021
- Securities Service Network, LLC., Registered Representative, 8/2017 - 9/2020
- WFG Investments Inc., Registered Representative, 6/2012 - 8/2017

Certifications: **RICP®**

Retirement Income Certified Professional™ (RICP®)

Issued by The American College

Qualifications Required:

- Completion of three required college level classes that represent an average study time of 150 hours
- Three years of full-time business experience
- Adherence to a strict code of professional ethics created by The American College
- Completion of 15 hours of continuing education every two years

Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. J. Eric Mullins has no required disclosures under this item.

Item 4 Other Business Activities

J. Eric Mullins does not have any other business activities to report here.

Item 5 Additional Compensation

Mr. Mullins is not compensated in any other way than the investment advisory fees described in the *Service, Fees, and Compensation and Additional Information* section(s) of Investments & Financial Planning, LLC's Form ADV Part 2A Appendix 1 or the *Fees and Compensation, Client Referrals and Other Compensation, and Other Financial Industry Activities and Affiliations* section(s) of Investments & Financial Planning, LLC's firm brochure.

Item 6 Supervision

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Investments & Financial Planning, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability

information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.

My supervisor is: David B. Short, Chief Compliance Officer

Supervisor phone number: 859-543-8188