



**Randy J. Anderson, CFP®**

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**Part 2B Brochure**

This brochure supplement provides information about Randy Anderson that supplements our brochure. You should have received a copy of that brochure. Please contact Randy Anderson if you did not receive Traction Financial Partners, LLC brochure or if you have any questions about the contents of this supplement. Additional information about Randy Anderson is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching # 4644115.

## ITEM 2 – EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE

**Randy J. Anderson**

**Year of Birth:** 1957

**Educational Background:**

- 1984: Oregon State University – BS Psychology

**Business Background:**

- 08/2023 – Present: Traction Financial Partners; Financial Advisor
- 08/2023—Present: LPL Financial; Registered Representative
- 09/2008 – 08/2023: Equitable Advisors, LLC (formerly AXA Advisors, LLC); Registered Representative

**Professional Designations:** CFP® - Certified Financial Planner™

I am certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”). Therefore, I may refer to myself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and I may use these and CFP Board’s other certification marks (the “CFP Board Certification Marks”). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net). CFP® professionals have met CFP Board’s high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor’s degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual’s ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board’s Code of Ethics and Standards of Conduct (“Code and Standards”), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board’s Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional's services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

### ITEM 3 – DISCIPLINARY INFORMATION

Randy Anderson has no history of any legal or disciplinary events that deem to be material to a client's consideration of Randy Anderson to act as their investment adviser representative. FINRA's BrokerCheck® is a resource available to review the disciplinary history of Randy Anderson. <https://brokercheck.finra.org/>

### ITEM 4 – OTHER BUSINESS ACTIVITIES

Randy Anderson is a registered representative of LPL Financial ("LPL"), a securities broker/dealer, and a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and an investment adviser registered with the SEC.

As a broker-dealer, LPL engages in a broad range of activities normally associated with securities brokerage firms. Pursuant to the investment advice given by Mr. Anderson, investments in securities will be recommended for you. If LPL is selected as the broker-dealer, it will affect transactions in securities for you and Mr. Anderson. By serving as the broker-dealer, LPL and Mr. Anderson will receive commissions for executing securities transactions.

You are advised that if LPL is selected as the broker-dealer, the transaction charges may be higher or lower than the charges you may pay if the transactions were executed at other broker-dealers. You should note, however, that you have the right to not purchase securities through Mr. Anderson, Traction Financial Partners or LPL.

Mr. Anderson will provide advice regarding investment company securities. You should be aware that, in addition to the advisory fees paid by you, each investment company also charges its own separate investment advisory fees and other expenses (internal management fees). In addition, you should be aware that mutual funds may be purchased separately independent of the investment management services of Traction Financial Partners.

Mr. Anderson, in his capacity as a registered representative of LPL, or as an agent appointed with various life, disability or other insurance companies, receives commissions, 12(b) -1 fees, trails, or other compensation from the respective product sponsors and/or as a result of effecting securities transactions for you. However, you should note that you have the right to not purchase any investment products through Mr. Anderson.

Randy Anderson holds an insurance license to sell limited insurance products and offers them through licensed insurance agencies. It is anticipated that a small portion, less than (10%) of his time, will be spent providing these insurance products. He will receive compensation from selling insurance products and therefore receive economic benefit for this activity. This activity may create a conflict of interests with clients. The client is under no obligation to purchase insurance through Randy Anderson on a commissionable basis. To address this, disclosure is made to the client at the time purchase is made, identifying the nature of the transaction or relationship, the role to be played and any compensation (e.g., commissions, trails) to be paid by the client and/or received by the insurance agent. Clients have the right to decide whether to act on the recommendation and the right to purchase any insurance products through the insurance agent of their choice. The Firm and its Investment Adviser Representative will always act in the best interest of the client.

Randy Anderson is Chair of the Board of Directors for the Arapahoe Community College Foundation. There is no compensation paid for his role on the Board of Directors. Time spent on this activity equates to less than 10% of his time.

Randy Anderson is Managing Member of RBB Advisors, LLC. This entity is used for payroll processing and bookkeeping for income received through Traction Financial Partners, LLC and LPL Financial. This is a non-investment related activity. Mr. Anderson spends less than 10% of his time each month in his role.

## ITEM 5 – ADDITIONAL COMPENSATION

Outside of what is disclosed in Item 4 above, there is no additional compensation to report in Item 5.

## ITEM 6 – SUPERVISION

Randy Anderson is supervised through a compliance program designed to prevent and detect violations of the federal and state securities laws. Supervision is conducted by the Chief Compliance Officer, Katy Kappius who is responsible for administering the policies and procedures. As Chief Compliance Officer, Katy Kappius reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation. All policies and procedures of the firm are followed.

Katy Kappius may be reached at 720-307-6440.