

Crown Capital Securities, L.P. Advisor Brochure Supplement

(Part 2B of Form ADV)

This brochure supplement provides information about Gary A. Glockzin that supplements the brochure for Crown Capital Securities, L.P.. You should have received a copy of that brochure. Please contact Troy Paulsen (800.803.8886) if you did not receive Crown Capital Securities, L.P.'s brochure or if you have any questions about the contents of this supplement. This Supplement has not been reviewed or approved by the U.S. Securities & Exchange Commission, any state regulatory agency or self-regulatory organization.

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Additional information about Gary A. Glockzin is available on the SEC's website at www.adviserinfo.sec.gov.

5/13/2020

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San Diego, CA 92131

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Item 2 Educational Background and Business Experience

I was born in 1954.

FORMAL EDUCATION

I have the following educational background:

Institution Name: University of Minnesota, Carlson School of Management
Date Attended: 9/1978 to 3/1980
Degree Obtained: Bachelor of Science
Major: Business

Institution Name: San Diego State University
Date Attended: 09/1992 to 06/1994
Degree Obtained: Master of Science Business Administration
Major: Financial & Tax Planning

RECENT WORK EXPERIENCE

I have the following business background:

Employment Dates: 06/1999 to Present
Business Name: Crown Capital Securities, LP
Investment Related: Yes
City: Orange
State: CA
Position Held: Registered Principle - Advisory Associate

SECURITIES AND INSURANCE LICENSES

I currently hold the following securities license(s): 6, 7; 22, 24; 63.

My Series 7 license allows me to assist you with any general securities investment (stocks, bonds, mutual funds, variable annuities, 529 plans and other investment of this kind).

I hold a Series 24 License which allows me to supervise and manage branch activities. Before I received by Series 24, I had to pass the Series 7 Exam.

I hold a Series 63 License which is required by some states before I can sell securities in that state. A Series 63 License indicates I am familiar with state regulations.

I hold the following insurance licenses: Life; Variable Annuity; Health. They are held in the following states: Arizona; California; Minnesota; Oregon; Texas; Virginia.

PROFESSIONAL DESIGNATIONS

I hold the following professional designations:

Designation Name: CFP - Certified Financial Planner

Accredited Sponsor: Certified Financial Planner Board of Standards, Inc

Date Earned:

CFP - Certified Financial Planner

The CERTIFIED FINANCIAL PLANNER, CFP and federally registered CFP (with flame design) marks (collectively, the "CFP marks") are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). The CFP certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 62,000 individuals have obtained CFP certification in the United States. To attain the right to use the CFP marks, an individual must satisfactorily fulfill the following requirements:

1) Education - Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;

2) Examination - Pass the comprehensive CFP Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;

3) Experience - Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and

4) Ethics - Agree to be bound by CFP Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP marks:

1) Continuing Education - Complete 30 hours of continuing education hours every two years,

including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and

2) Ethics - Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP professionals provide financial planning services at a fiduciary standard of care. This means CFP professionals must provide financial planning services in the best interests of their clients.

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Item 3 Disciplinary Information

A customer dispute was filed against me in 2010 by a married clients alleging that they were placed into unsuitable investments that resulted in substantial losses in the market downturns of 2007-2008. In fact, I supplied evidence that supported that the clients actually received returns and profits in excess of 8% annually compounded and \$1.5 million, respectively, during our relationship. Ultimately, this matter was settled, by the broker-dealer, for business considerations in order to avoid the cost and uncertainty of arbitration. I did not, nor was I asked, to contribute to the settlement.

Item 4 Other Business Activities

INVESTMENT-RELATED OBAs

I am engaged in the following investment-related business activities in addition to serving acting as an investment adviser representative. I recognize that these activities may raise conflicts of interests. I have described how I address them and any compensation I receive from these activities:

I am a Registered Representative of Crown Capital Securities, L.P., which is a registered broker/dealer and a member of FINRA and SIPC.

My other affiliation creates limited potential material conflicts of interest for advisory clients because my commissions are customary and competitive for the marketplace. However, brokerage services may be available elsewhere at a lower cost. At no time is any client obligated to purchase securities through me.

I receive no additional economic benefits that could create a material conflict of interest that I have not included below.

I am not a registered or have an application pending to register as a broker/dealer and I am not a registered or associated person of a futures commission merchant, commodity pool operator, or commodity trading adviser.

NON-INVESTMENT-RELATED OBAs

I am involved in several non-investment-related business activities that provide a portion of my income and/or involve a portion of my time.

Description: Owner of WealthGurus/Glockzin, Inc./Glockzin Financial Services; marketing and operations units that support my duties in the financial services organizations. *Conflict of Interest:* N/A

Description: Independent Insurance Agent; marketing, sales, and service of insurance products authorized under Life-Only, Accident, and Health Insurance *Conflict of Interest:* N/A

Description: Managing Member of Luhrs 40, LLC; Sport-fishing yacht providing charters. *Conflict of Interest:* N/A

Description: President of Zinton Marketing, Inc.; Income tax marketing and preparation service. No conflicts of interest.

Item 6 Supervision

I supervise the quality of the advice given to my clients. I have access to your custodial account statements and your quarterly performance reports, which I review. I also meet with you at least annually to confirm your accounts' investments and asset allocation remain appropriate for your investment objectives.

I am supervised by Crown Capital Securities, L.P. at several levels. Annually, I attest that I understand the policies and procedures related to my offering of advisory services and must complete various Continuing Education requirements. To monitor the advice I give, a supervising principal reviews all account opening paperwork before an account is opened, and a surveillance program monitors the investment management of my existing accounts for red flags. Finally, my branch office is subject to a periodic audit which includes a review of client files and that I am servicing clients in accordance with firm policies.

My supervisor is:
Troy Paulsen
Compliance Officer
(714)547-9481