# Brian Konty

## Form ADV, 2B

## Brochure Supplement

April 8, 2018
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The Brochure Supplement provides information about Brian Konty that supplements Triumph Capital Management's Brochure. You should have received a copy of the Brochure. Please contact Brandon Drespling, Chief Compliance Officer, if you did not receive Triumph Capital Management's brochure or if you have any questions about the contents of this supplement. Mr. Drespling can be reached at (720) 399-5555 or BrandonD@TriumphCapitalManagement.com.

Additional information about Brian Konty is available on the SEC's website at www.adviserinfo.sec.gov. Information can be accessed by using CRD# 4501331.

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## ITEM 2 – EDUCATION BACKGROUND AND BUSINESS EXPERIENCE

BRIAN KONTY

- Born: 1975

POST – SECONDARY EDUCATION:

- University of Southern Colorado – Bachelor Degree: Accounting – 2002
- Successfully complete the General Securities Principal (Series 24), General Securities Representative (Series 7), and Uniform Combined State Law Examination (Series 66)
- Insurance Licenses: Life, Health, Variable, Long Term Care

RECENT BUSINESS EXPERIENCE:

| YEARS | EMPLOYMENT |
|---|---|
| 2016 – Present | Triumph Capital Management, Investment Adviser Representative |
| 2015 – Present | Summit Brokerage Services, Inc., Registered Representative |
| 2015 – Present | Summit Financial Group, Investment Adviser Representative |
| 2015 – Present | Cetera Investment Advisors, LLC, Investment Adviser Representative |
| 2015 | J.P. Turner & Company, LLC, Registered Representative |
| 2015 | J.P. Turner Capital Management, LLC, Investment Advisor Representative |
| 2002 – 2015 | AXA Advisors, Registered Representative |

## ITEM 3 - DISCIPLINARY INFORMATION

Mr. Konty has no history of any legal or disciplinary events that deem to be material to a client's consideration of Mr. Konty to act as their investment adviser representative. FINRA's BrokerCheck may have additional information regarding the disciplinary history of Mr. Konty that is not included in this brochure supplement. (http://brokercheck.finra.org/Support/TermsAndConditions.aspx)

## ITEM 4 - OTHER BUSINESS ACTIVITIES

Mr. Konty is a registered representative of Summit Brokerage Services, Inc., a securities broker/dealer, and a member of the Financial Industry Regulatory Authority, Inc. Brokerage services through Summit Brokerage, Inc. are marketed using the name Triumph Capital, LLC. Triumph Capital, LLC is an

independent firm and is not affiliated with Summit Brokerage Services, Inc. Advisory services are offered through Triumph Capital Management, a registered investment advisor

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

You are advised that if SBS 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. Konty, Triumph Capital Management or SBS.

Mr. Konty holds an insurance license to sell insurance and does so through his registration with Summit Brokerage Services, Inc., as well as holding appointments directly with various insurance companies. Mr. Konty spends less than 10% of his time providing insurance products. Commissions may be earned by Mr. Konty if insurance products are purchased through insurance companies. This may or may not create a conflict of interest.

Mr. Konty 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 Triumph Capital Management.

Mr. Konty, in his capacity as registered representatives of SBS, or agents 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. Konty. On advisory accounts through Triumph Capital Management, Mr. Konty will not receive any other compensation.

If you engage your IAR to provide advice relative to your alternative Investments, you will pay a fee for this service. This advisory fee is separate and in addition to the internal costs inherent to your alternative investment, and will be calculated as a percentage of your alternative investment account value, as reported by the custodian where your alternative investment is held. When this service is provided to you directly by your IAR, the advisory fee is not to exceed 3% per year. The advisory fee you will be charged will be clearly outlined in the advisory agreement you sign with your IAR.

Due to commission payments associated with certain alternative investments, they present a conflict of interest because they create an incentive to make recommendations based on the compensation that we receive rather than based on your needs. We will explain the specific costs associated with any recommended investments with you upon request. Alternative investments may have different shares classes available for purchase including no load options. Please review the prospectus closely and discuss with your IAR. In such cases where a commission was paid on an alternative investment, Triumph Capital Management will not allow its IAR's to charge a fee for this service for a period of three years following

when the IAR sold the alternative investment to you. If your IAR did not sell the alternative investment to you, this three-year waiting period may or may not apply.

Mr. Konty is also an IAR of Summit Financial Group, and can offer a variety of advisory programs and services through Summit Financial Group in addition to the advisory services he can offer through Triumph Capital Management. Summit Financial Group is an affiliated RIA of Summit Brokerage Services, Inc. More Information on the services available through Summit Financial Group may be found in their firm brochure, available upon request from Mr. Konty.

Mr. Konty is also an IAR of Cetera Investment Advisors, LLC, and can offer a variety of advisory programs and services through Cetera Investment Advisors, LLC in addition to the advisory services he is able to offer through Triumph Capital Management. More information on the services available through Cetera Investment Advisors, LLC may be found in their firm brochure, available upon request from Mr. Konty.

Mr. Konty sits on the St. Thomas More Hospital Board. This activity is non-investment related and Mr. Konty spends approximately two hours (non-trading hours) a month as a board member.

Mr. Konty participates in Band Boosters, supporting the high school band program. Mr. Konty spends approximately eight hours per month, five of which are during trading hours.

## ITEM 5 - ADDITIONAL COMPENSATION

Mr. Konty may also receive incentive-based non-cash compensation in the form of additional compensation or reimbursement arrangements which may include payments in connection with events, conferences or seminars, sales or training programs, trips (which may include travel, lodging and meals), and/or in the form of entertainment, merchandise or other benefits. While non-cash compensation programs are designed to encourage IARs and to consider and recommend certain products of investments, the conferences, seminars and training programs provided by such non-cash compensation arrangements help IARs stay current with changing products and economic issues. Such training may ultimately position IARs with resources to help serve their clients' financial needs. Although non-cash compensation payments may create a conflict of interest, based on current fiduciary and suitability standards, Mr. Konty is required to make recommendations appropriate to each client's individual needs and objectives.

## ITEM 6 - SUPERVISION

Mr. Konty 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, Brandon Drespling, who is responsible for administering the policies and procedures. Mr. Drespling reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation.

Brandon Drespling
Chief Compliance Officer
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