

## PART 2B OF FORM ADV: BROCHURE SUPPLEMENT

**Daniel A. Ball**

**GENERAL COUNSEL / CHIEF COMPLIANCE OFFICER / SPC FINANCIAL, INC.**

This brochure supplement provides information related to Daniel A. Ball supplementing the SPC Financial, Inc. ADV brochure. If you did not receive a copy of the ADV brochure or if you have questions related to this supplement, please contact E. Geoffrey Sella or Mr. Ball at 301-770-6800 or [info@spcfinancial.com](mailto:info@spcfinancial.com)

Additional information about Daniel A. Ball is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)

### EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Daniel A. Ball (DOB 1956) joined SPC Financial, Inc. in October 2015 as its General Counsel and Chief Compliance Officer. He is an Investment Advisor Representative with SPC Financial, Inc., as well as a registered representative with Raymond James Financial Services, Inc. (member FINRA/SIPC). He holds a General Securities Representative (Series 7) license and a NASAA Uniform Combined State Law (Series 66) license.

Mr. Ball earned a B.A. degree in Psychology from the University of Texas at Austin (1978), a J.D. degree from Antioch School of Law (1982), and a LL.M. in Securities Regulation degree from Georgetown University Law Center (1987). He acquired securities law and regulatory knowledge through more than 30 years of private practice and government legal experience. Mr. Ball was a staff attorney for three years with the Securities and Exchange Commission, Division of Corporation Finance. He has worked in several law firms as an associate attorney, of counsel, and partner, and was the principal of his own law practice.

### DISCIPLINARY INFORMATION

Mr. Ball does not have any disciplinary history.

### OTHER BUSINESS ACTIVITIES

#### Securities Brokerage

Mr. Ball is a Registered Representative of Raymond James Financial Services, Inc. ("RJFS") and may be paid fees and/or commissions on securities transactions. All commissions and fees are disclosed to Clients. However, SPC is solely responsible for all investment advice rendered to Clients.

#### Other Activities

Mr. Ball may participate in events or accept speaking engagements regarding various legal or financial topics unrelated to investment services or securities products. All accounting and tax services, however, are provided by Sella & Martinic, LLC through a separate engagement letter with the Client. For more information regarding other financial industry activities and affiliations of SPC Financial, Inc. or its Investment Advisor Representatives ("IARs"), please refer to our *Firm's Brochure*. SPC and Sella & Martinic, LLC are not registered broker/dealers and both are independent of RJFS.



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### ADDITIONAL COMPENSATION

If Clients act upon advice provided by Mr. Ball as an IAR, Mr. Ball and/or SPC Financial® may receive fees and/or commissions. On securities related transactions, RJFS and/or its affiliates may receive fees and/or commissions. On custodial assets at Raymond James & Associates, RJFS and/or its affiliates may receive fees and/or commissions.

As part of its fiduciary duties to Clients, SPC endeavors at all times to put the interests of its investment advisory Clients first. Clients should be aware, however, that the receipt of economic benefits by SPC or its related persons in and of itself creates a potential conflict of interest.

Mr. Ball does not pay for or receive compensation for Client referrals.

### SUPERVISION

Daniel A. Ball, General Counsel and Chief Compliance Officer of SPC Financial, Inc., is responsible for oversight and supervision of the day-to-day compliance of the firm, including the investment advisory related activities of the firm's IARs. E. Geoffrey Sella, CPA/PFS, CFP®, as President of SPC Financial, Inc., is responsible for oversight and supervision of the investment advisory services provided to Clients by Mr. Ball.

IARs and the advice provided to Clients are supervised by a variety of means such as internal meetings with the IARs to discuss client investment objectives and goals, reviewing Client financial plans, reviewing IARs' meeting notes with Clients, and reviewing executed transactions. Questions regarding the supervision of Mr. Ball may be directed to Mr. Sella by email at [jsella@spcfinancial.com](mailto:jsella@spcfinancial.com) or by telephone at (301) 770-6800. Questions regarding the supervision of other IARs may be directed to Mr. Ball by email at [dball@spcfinancial.com](mailto:dball@spcfinancial.com) or by telephone at (301) 770-6800.