

FCA CORP

791 Town & Country Blvd #250 | Houston, TX 77024

Website | www.fcacorp.com

Phone | (713) 781-2856

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FORM ADV PART 2B BROCHURE SUPPLEMENT

CRD No. 110658

The Securities and Exchange Commission (“SEC”) now requires disclosures about certain people providing advice to you. FCA Corp (“FCA”) has prepared this Brochure Supplement for the purpose of providing information about the qualifications and background of the supervised persons working with you or on your behalf or who may otherwise participate in the advisory services provided to you.

This Supplement provides information regarding the following employees:

1. Robert W. Scharar
2. Wesley Yuhnke
3. Robert Burns
4. William LeVay
5. Cindy Yac
6. Christina Scharar Doherty
7. Geraldo Olivo
8. Ryan Scharar
9. Thomas Koch
10. Jonathan McCarty
11. Casey Kha
12. Jeffery Rumfield

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ITEM 1. SUPERVISED PERSON: ROBERT W. SCHARAR

President and Chief Executive Officer (“CEO”)

791 Town & Country Blvd #250 | Houston, TX 77024

Phone | (713) 781-2856

Fax | (713) 781-4923

This Brochure Supplement provides information about the abovementioned individual that supplements the FCA Corp Brochure. You should have received a copy of that brochure. Please contact FCA's Chief Compliance Officer, William LeVay, at (713) 781-2856 if you did not receive FCA's Brochure or if you have any questions about the content of this supplement.

Additional information about the abovementioned individual is available on the SEC's website at www.adviserinfo.sec.gov.

ITEM 2. EDUCATIONAL BACKGROUND | BUSINESS EXPERIENCE:

Robert W. Scharar

Born: 1948

EDUCATION:

- Graduated from Polk Junior College with an Associate of Arts in Accounting in 1968
- Graduated from the University of Florida with a Bachelor of Science in Accounting in 1970
- Graduated from Northeastern University with a Master of Business Administration in 1971
- Graduated from Northeastern University Law School with a Juris Doctorate in 1974
- Graduated from Boston University School of Law with a Master of Law (LL.M.) in Taxation in 1979

RECENT EMPLOYMENT HISTORY:

- President, FCA Corp from 05/1984 to present

PROFESSIONAL DESIGNATIONS:

- Certified Public Accountant (CPA), Florida, 1971
- Member of the Massachusetts bar (admitted 1975) and Florida bar (admitted 1976)

Mr. Scharar is licensed as a Certified Public Accountant (CPA) in the state of Florida and an attorney licensed to practice law in the states of Florida and Massachusetts. However, Mr. Scharar does not currently maintain a separate professional practice as a CPA or as an attorney.

ITEM 3. DISCIPLINARY INFORMATION:

No disclosure required for ADV 2

ITEM 4. OTHER BUSINESS ACTIVITIES:

Mr. Scharar is an officer, director, and/or manager of the following entities that are not clients of FCA or a related entity:

- Director/President, First Commonwealth Holdings Corp., from 09/1999 to present
- Alternate Director, Blantyre Hotels Ltd., from 06/1999 to present
- Director, NICO Holdings Ltd., from 2001 to present
- Director, Nico Capital Corp from 2020 to present
- Director Paratransit Corp Insurance Company from 2019 to present

Robert W. Scharar is an officer, director, and/or manager of the following entities that are clients of FCA or a related entity:

- Africap, LLC and subsidiary companies
- Commonwealth International Series Trust
- First Commonwealth Mortgage Trust
- Holly Mortgage Trust

ITEM 5. ADDITIONAL COMPENSATION:

Mr. Scharar's director fees from the following entities, NICO Holdings Ltd. and Blantyre Hotels Ltd., are paid directly to Africap, LLC. Mr. Scharar does not receive separate compensation for serving as an officer, director or manager of other managed entities that are FCA clients.

ITEM 6. SUPERVISION:

In addition to his role as an officer of FCA, Mr. Scharar provides advisory services to clients. Mr. Scharar provides this service in various roles such as: portfolio manager of mutual funds, officer of managed entities, and as a senior financial

planner to individuals. He also serves as Chairman of the Investment Committee of FCA. The Investment Committee works as a team to evaluate certain investments for separately managed accounts. It meets periodically to review investments included on the approved list and to consider whether securities should be added or removed.

FCA has developed policies and procedures which are designed to standardize processes and internal controls for the company. Every employee is required to be responsible for preventing and reporting any activities inconsistent with the firm's Code of Ethics, procedures, policies or legal/regulatory requirements.

Although Mr. Scharar is the president of FCA, his actions are subject to review by various employees within the firm. Mr. Scharar's actions related to the managed entities are also subject to approval and/or ratification by the board of directors for the particular entity.

If you have any questions, you may contact FCA's Chief Compliance Officer, William LeVay, at (713) 781-2856.

ITEM 1. SUPERVISED PERSON: WESLEY YUHNKE

Chief Investment Officer ("CIO")

791 Town & Country Blvd #250 | Houston, TX 77024

Phone | (713) 781-2856

Fax | (713) 781-4923

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ITEM 2. EDUCATIONAL BACKGROUND | BUSINESS EXPERIENCE:

Wesley Yuhnke

Born: 1979

EDUCATION:

- Graduated from Stephen F. Austin State University with a Bachelor of Business Administration in Finance in 2002
- Graduated *cum laude* from Texas Tech University with a Master of Business Administration (MBA) in 2003

RECENT EMPLOYMENT HISTORY:

- Chief Investment Officer, FCA Corp 06/2008 to present
- Assistant Portfolio Manager, FCA Corp from 05/2002 to present
- Investment Operations Manager, FCA Corp from approximately 07/2004 to 06/2008

PROFESSIONAL DESIGNATIONS:

None

ITEM 3. DISCIPLINARY INFORMATION:

None

ITEM 4. OTHER BUSINESS ACTIVITIES:

Mr. Yuhnke is an officer of the following entities that are clients of FCA or a related entity:

- Executive Vice President, Commonwealth International Series Trust

ITEM 5. ADDITIONAL COMPENSATION:

Mr. Yuhnke does not receive separate compensation for serving as an officer of other managed entities that are FCA clients.

ITEM 6. SUPERVISION:

Mr. Yuhnke serves as the Chief Investment Officer for FCA. In this capacity, Mr. Yuhnke coordinates investment research, trading and investment operations. He is a member of the Investment Committee. The Investment Committee works as a team to evaluate certain investments for separately managed accounts. The Investment Committee meets periodically to review securities maintained on the approved list and to consider whether securities should be added or removed.

He may also meet individually with financial planning employees and clients to discuss specific client portfolios.

FCA has developed policies and procedures which are designed to standardize processes and internal controls for the company. Every employee is required to be responsible for preventing and reporting any activities inconsistent with the firm's Code of Ethics, procedures, policies or legal/regulatory requirements.

Mr. Yuhnke is supervised by Robert W. Scharar, who can be reached at (713) 781-2856.

ITEM 1. SUPERVISED PERSON: ROBERT BURNS

Director of Tax Services

791 Town & Country Blvd #250 | Houston, TX 77024

phone | (713) 781-2856

fax | (713) 784-4923

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Additional information about the abovementioned individual is available on the SEC website at www.adviserinfo.sec.gov.

ITEM 2. EDUCATIONAL BACKGROUND | BUSINESS EXPERIENCE:

Robert Burns

Born: 1955

EDUCATION:

- Graduated from Mississippi State University with a Bachelor of Science in Accounting in 1979

RECENT EMPLOYMENT HISTORY

- Director of Tax Services, FCA Corp from 2004 to present
- Vice President of Accounting Program, Gallagher Healthcare Insurance Services, Inc. from 1999 to 2003

PROFESSIONAL DESIGNATIONS:

- Certified Public Accountant (CPA), Texas, 1986

ITEM 3. DISCIPLINARY INFORMATION:

None

ITEM 4. OTHER BUSINESS ACTIVITIES:

Mr. Burns provides limited tax preparation services to individuals that are not FCA clients.

Mr. Burns is an officer of the following entities that are clients of FCA or a related entity:

- First Commonwealth Mortgage Trust
- Holly Mortgage Trust

ITEM 5. ADDITIONAL COMPENSATION:

Mr. Burns does not receive separate compensation for serving as an officer of other managed entities that are FCA clients.

ITEM 6. SUPERVISION:

Mr. Burns provides advisory services to FCA managed entities. These services are supervised by Robert W. Scharar, who can be reached at (713) 781-2856, and are also subject to approval and/or ratification by the board of directors for the particular entity.

FCA has developed policies and procedures which are designed to standardize processes and internal controls for the company. Every employee is required to be responsible for preventing and reporting any activities inconsistent with the firm's Code of Ethics, procedures, policies or legal/regulatory requirements.

ITEM 1. SUPERVISED PERSON: WILLIAM LeVAY
Chief Compliance Officer (“CCO”) & In House Counsel
791 Town & Country Blvd #250 | Houston, TX 77024
phone | (713) 781-2856
fax | (713) 781-4923

This Brochure Supplement provides information about the abovementioned individual that supplements the FCA Corp Brochure. You should have received a copy of that brochure. Please contact FCA's Chief Compliance Officer, William LeVay, at (713) 781-2856 if you did not receive FCA's Brochure or if you have any questions about the content of this supplement.

Additional information about the abovementioned individual is available on the SEC website at www.adviserinfo.sec.gov.

ITEM 2. EDUCATIONAL BACKGROUND | BUSINESS EXPERIENCE:

William LeVay *Born: 1955*

EDUCATION:

- Graduated from Indiana University with a Bachelor of Science in Business in 1977
- Graduated from Baylor University School of Law with a Juris Doctorate in 1981

RECENT EMPLOYMENT HISTORY:

- In House Counsel, FCA Corp from 12/2008 to present
- Chief Compliance Officer, FCA Corp from 12/2012 to present

PROFESSIONAL DESIGNATIONS:

- Certified Public Accountant (CPA), Texas, 1982
- Member of the Texas bar (admitted 1981)

Mr. LeVay is licensed to practice law in the state of Texas. Mr. LeVay is licensed as a certified public accountant (CPA) in the state of Texas. Mr. LeVay does not currently maintain a separate professional practice as a CPA.

ITEM 3. DISCIPLINARY INFORMATION:

None

ITEM 4. OTHER BUSINESS ACTIVITIES:

William LeVay is an officer of the following entities that are clients of FCA or a related entity:

- Chief Compliance Officer (CCO), Commonwealth International Series Trust
- Secretary, First Commonwealth Mortgage Trust

ITEM 5. ADDITIONAL COMPENSATION:

Mr. LeVay receives compensation from his role as CCO for the Commonwealth International Series Trust. Mr. LeVay does not receive separate compensation for serving as an officer of other managed entities that are FCA clients.

ITEM 6. SUPERVISION:

Mr. LeVay provides advisory management services to managed entities. These services are supervised by Robert W. Scharar, who can be reached at (713) 781-2856, and are also subject to approval and/or ratification by the board of directors for the particular entity.

FCA has developed policies and procedures which are designed to standardize processes and internal controls for the company. Every employee is required to be responsible for preventing and reporting any activities inconsistent with the firm's Code of Ethics, procedures, policies or legal/regulatory requirements.

ITEM 1. SUPERVISED PERSON: CINDY YAC

Financial Planner Associate

791 Town & Country Blvd #250 | Houston, TX 77024

phone | (713) 781-2856

fax | (713) 781-4923

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Additional information about the abovementioned individual is available on the SEC website at www.adviserinfo.sec.gov.

ITEM 2. EDUCATIONAL BACKGROUND | BUSINESS EXPERIENCE:

Cindy Yac

Born: 1990

EDUCATION:

- Graduated from The University of Texas at Austin with a Bachelor of Business Administration in Finance in 2012
- Graduated from Houston Baptist University with a Master of Business Administration in 2015

RECENT EMPLOYMENT HISTORY:

- Financial Planner Associate, FCA Corp from 02/2016 to present
- Claims Examiner, Broadspire Services from 09/2013 to 01/2016
- Executive Team Leader, Target Corporation from 08/2012 to 06/2013

ITEM 3. DISCIPLINARY INFORMATION:

None

ITEM 4. OTHER BUSINESS ACTIVITIES:

None

ITEM 5. ADDITIONAL COMPENSATION:

None

ITEM 6. SUPERVISION:

Mrs. Yac currently serves as a Financial Planner Associate for the firm. She provides assistance to the financial planning team. The number of clients each team member is assigned will vary.

FCA has developed policies and procedures which are designed to standardize processes and internal controls for the company. Every employee is required to be responsible for preventing and reporting any activities inconsistent with the firm's Code of Ethics, procedures, policies or legal/regulatory requirements.

Mrs. Yac is supervised by Christina Doherty, who can be reached at (713) 781-2856.

ITEM 1. SUPERVISED PERSON: CHRISTINA SCHARAR DOHERTY

Tax Advisor and Strategic Planner

791 Town & Country Blvd #250 | Houston, TX 77024

Phone | (713) 781-2856

Fax | (713) 781-4923

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Additional information about the abovementioned individual is available on the SEC's website at www.adviserinfo.sec.gov.

ITEM 2. EDUCATIONAL BACKGROUND | BUSINESS EXPERIENCE:

Christina Scharar Doherty Born: 1986

EDUCATION:

- Graduated *magna cum laude* from Texas Christian University with a Bachelor of Business Administration in Accounting and a Bachelor of Arts in Spanish in 2008
- Graduated from Northeastern University with a Master of Science in Accounting in 2009
- Graduated *magna cum laude* from Michigan State University College of Law with a Juris Doctorate degree in 2012

RECENT EMPLOYMENT HISTORY:

- Tax Advisor & Strategic Planner, FCA Corp from 01/2019 to present
- Tax Manager, Deloitte Tax LLP from 08/2016 to 01/2019
- Tax Senior, Deloitte Tax LLP from 09/2014 to 08/2016
- Tax Consultant, Deloitte Tax LLP from 08/2012 to 08/2014

PROFESSIONAL DESIGNATIONS:

- Certified Public Accountant (CPA), Texas, 2013
- Member of the Texas bar (admitted 2012)

Mrs. Doherty is licensed as a Certified Public Accountant (CPA) in the state of Texas and an attorney licensed to practice law in the state of Texas. However, Mrs. Doherty does not currently maintain a separate professional practice as a CPA or as an attorney.

ITEM 3. DISCIPLINARY INFORMATION:

None

ITEM 4. OTHER BUSINESS ACTIVITIES:

Mrs. Doherty is an officer of the following entities that are *not clients of FCA* or a related entity:

- Treasurer, First Commonwealth Holdings Corp., from 8/2019 to present
- Treasurer, United Investments Inc., from 2012 to present
- Clerk, Trans Union Industries, Inc., from 2010 to present

ITEM 5. ADDITIONAL COMPENSATION:

None

ITEM 6. SUPERVISION:

Mrs. Doherty currently serves as a Tax Advisor and Strategic Planner for the firm. She provides financial planning services to assigned clients. The number of clients each team member is assigned will vary.

FCA has developed policies and procedures which are designed to standardize processes and internal controls for the company. Every employee is required to be responsible for preventing and reporting any activities inconsistent with the firm's Code of Ethics, procedures, policies or legal/regulatory requirements.

Mrs. Doherty is supervised by Robert W. Scharar, who can be reached at (713) 781-2856.

ITEM 1. SUPERVISED PERSON: GERALDO OLIVO
Financial Planning Associate / Business Development
791 Town & Country Blvd #250 | Houston, TX 77024
phone | (713) 260-1405
fax | (713) 781-4923

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Additional information about the above-mentioned individual is available on the SEC website at www.adviserinfo.sec.gov.

ITEM 2. EDUCATIONAL BACKGROUND | BUSINESS EXPERIENCE:

Geraldo Olivo *Born: 1976*

EDUCATION:

- Graduated from Texas A&M University with a Bachelor of Science in Journalism in 1999.

RECENT EMPLOYMENT HISTORY:

- Financial Planning Associate / Business Development, FCA Corp from 03/2021 to present
- Client Advisor, Alex. Brown, a division of Raymond James from 02/2019 to 03/2021
- Business Development, Willis Johnson & Associates from 05/2017 to 02/2019

PROFESSIONAL DESIGNATIONS:

- Accredited Asset Management Specialist (AAMS®), College for Financial Planning, 2020

The AAMS® is professional designation awarded by the College for Financial Planning to professionals who successfully complete a self-study program, pass an exam, an. To be certified the planner must meet certain educational experience requirements, submit to an examination, adhere to a conduct code and participate in a continuing education program;

ITEM 3. DISCIPLINARY INFORMATION:

None

ITEM 4. OTHER BUSINESS ACTIVITIES:

None

ITEM 5. ADDITIONAL COMPENSATION:

None

ITEM 6. SUPERVISION:

Mr. Olivo currently serves as a Financial Planning Associate / Business Development for the firm. He provides assistance to the financial planning team and also manages business development activities. The number of clients each team member is assigned will vary.

FCA has developed policies and procedures which are designed to standardize processes and internal controls for the company. Every employee is required to be responsible for preventing and reporting any activities inconsistent with the firm's Code of Ethics, procedures, policies or legal/regulatory requirements.

Mr. Olivo is supervised by Christina Scharar Doherty, who can be reached at (713) 781-2856.

ITEM 1. SUPERVISED PERSON: RYAN E. SCHARAR

*Tax Director & Strategic Planner
791 Town & Country Blvd #250 | Houston, TX 77024
Phone | (713) 781-2856*

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Additional information about the abovementioned individual is available on the SEC's website at www.adviserinfo.sec.gov.

ITEM 2. EDUCATIONAL BACKGROUND | BUSINESS EXPERIENCE:

Ryan Edward Scharar Born: 1980

EDUCATION:

- Graduated from Stephen F. Austin State University with a Bachelor of Business Administration in Accounting in 2002.
- Graduated from Baylor University with a Master of Business Administration in 2003.
- Graduated *cum laude* from Michigan State University College of Law with a Juris Doctorate degree in 2009.

RECENT EMPLOYMENT HISTORY:

- Tax Director & Strategic Planner, FCA Corp from 01/2021 to present
- President, Scharar Law Firm, PC from 08/2015 to present
- Sole Proprietor, Ryan E. Scharar, CPA from 04/2014 to 12/2019
- Associate Attorney, Anthony & Middlebrook, P.C. from 05/2012 to 04/2014
- Associate Attorney, Brackett & Ellis, P.C. from 09/2009 to 04/2012

PROFESSIONAL DESIGNATIONS:

- Certified Public Accountant (CPA), Texas, 2005
- Member of the Texas bar (admitted 2009)

Ryan Scharar is licensed as a Certified Public Accountant (CPA) in the state of Texas and an attorney licensed to practice law in the state of Texas. Mr. Scharar currently maintains a separate professional practice as an attorney.

ITEM 3. DISCIPLINARY INFORMATION:

None

ITEM 4. OTHER BUSINESS ACTIVITIES:

Ryan Scharar is an officer, director, and/or manager of the following entities that are not clients of FCA or a related entity:

- Treasurer, Trans Union Industries Inc., from 2001 to present
- Assistant Secretary, United Investments Inc., from 2012 to present
- Secretary, First Commonwealth Holdings Corp, from 2016 to present
- Alternate Director, NICO Holdings Ltd., from 2016 to present
- Director, Nico Life Insurance Company Limited, from 2016 to present
- Director, Nico Asset Managers Limited, from 2016 to present

Ryan Scharar is an officer of the following entities that are clients of FCA or a related entity:

- Vice President, Africap, LLC from 2018 to present
- President, Scharar Law Firm, PC, from 2015 to present

ITEM 5. ADDITIONAL COMPENSATION:

None

ITEM 6. SUPERVISION:

Ryan Scharar serves as a Tax Director & Strategic Planner for the firm. He provides tax compliance and wealth management services to assigned clients. The number of clients each team member is assigned will vary.

FCA has developed policies and procedures which are designed to standardize processes and internal controls for the company. Every employee is required to be responsible for preventing and reporting any activities inconsistent with the firm's Code of Ethics, procedures, policies or legal/regulatory requirements.

Ryan Scharar is supervised by Robert W. Scharar, who can be reached at (713) 781-2856.

ITEM 1. SUPERVISED PERSON: THOMAS KOCH

Director, Global Capital and Strategy

791 Town & Country Blvd #250 | Houston, TX 77024

Phone | (713) 781-2856

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Additional information about the abovementioned individual is available on the SEC's website at www.adviserinfo.sec.gov.

ITEM 2. EDUCATIONAL BACKGROUND | BUSINESS EXPERIENCE:

Thomas Jerome Koch Born: 1986

EDUCATION:

- Graduated from US Naval Academy with a Bachelor of Science in International Relations in 2004.
- Graduated from Wharton School, with a Master of Business Administration in Finance 2019.

RECENT EMPLOYMENT HISTORY:

- Director, Global Capital and Strategy, FCA Corp from 08/2020 to present
- Team Leader, 1st Civil Affairs Group, US Marine Corps Reserve, from 10/2021 to present
- Congressional Liaison Officer, US Marine Corps Reserve, from 10/2017 to 9/2021
- Senior Consultant, Deloitte consulting LLP, from 0/2019 to 07/2020
- Various, United States Marine Corps. from 06/2008 to 10/2017

ITEM 3. DISCIPLINARY INFORMATION:

None

ITEM 4. OTHER BUSINESS ACTIVITIES:

Thomas Koch is an officer of the following entities that are clients of FCA or a related entity:

- Vice-President, Africap, LLC, from 9/2020 to present
- Vice-President, Holly Mortgage Trust, 2020 to present

ITEM 5. ADDITIONAL COMPENSATION:

None

ITEM 6. SUPERVISION:

Thomas Koch serves as a Director of Global Capital and Strategy for the firm. He helps managing private investment vehicles to which FCA Corp serves as an Adviser.

FCA has developed policies and procedures which are designed to standardize processes and internal controls for the company. Every employee is required to be responsible for preventing and reporting any activities inconsistent with the firm's Code of Ethics, procedures, policies or legal/regulatory requirements.

Ryan Scharar is supervised by Robert W. Scharar, who can be reached at (713) 781-2856.

ITEM 1. SUPERVISED PERSON: JONATHAN MCCARTY

Financial Planner

791 Town & Country Blvd #250 | Houston, TX 77024

Phone | (713) 260-1450

Fax | (713) 583-3768

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Additional information about the abovementioned individual is available on the SEC's website at www.adviserinfo.sec.gov.

ITEM 2. EDUCATIONAL BACKGROUND | BUSINESS EXPERIENCE:

Jonathan McCarty

Born: 1986

EDUCATION:

Graduated from California State University Northridge with a Bachelor of Science in Business Management in 2011.

RECENT EMPLOYMENT HISTORY:

- Financial Planner, FCA Corp from 01/2022 to present
- Associate, JP Morgan Private Bank from 10/2018 to 01/2022
- Vice President, Merrill Lynch from 06/2012 to 05/2018

PROFESSIONAL DESIGNATIONS:

- Chartered Financial Analyst ("CFA[®]) charterholder, CFA Institute, 2021
- Certified Financial Planner (CFP[®]), College for Financial Planning, 2017

Mr. McCarty is an active Chartered Financial Analyst Charterholder with the CFA Institute and a current Certified Financial Planner with the College for Financial Planning.

ITEM 3. DISCIPLINARY INFORMATION:

None

ITEM 4. OTHER BUSINESS ACTIVITIES:

None

ITEM 5. ADDITIONAL COMPENSATION:

None

ITEM 6. SUPERVISION:

Mr. McCarty currently serves as a Financial Planner for the firm. He provides financial planning services to assigned clients. The number of clients each team member is assigned will vary.

FCA has developed policies and procedures which are designed to standardize processes and internal controls for the company. Every employee is required to be responsible for preventing and reporting any activities inconsistent with the firm's Code of Ethics, procedures, policies or legal/regulatory requirements.

Mr. McCarty is supervised by Christina Scharar Doherty, who can be reached at (713) 781-2856.

ITEM 1. SUPERVISED PERSON: CASEY KHA

Financial Planner

791 Town & Country Blvd #250 | Houston, TX 77024

Phone | (817) 912-5591

Fax | (713) 583-3768

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LeVay, at (713) 781-2856 if you did not receive FCA's Brochure or if you have any questions about the content of this supplement.

Additional information about the abovementioned individual is available on the SEC's website at www.adviserinfo.sec.gov.

ITEM 2. EDUCATIONAL BACKGROUND | BUSINESS EXPERIENCE:

Casey Kha

Born: 1983

EDUCATION:

Graduated from *cum laude* from Texas Tech University with a Bachelor of Science in Personal Financial Planning in 2006.

RECENT EMPLOYMENT HISTORY:

- Financial Planner, FCA Corp from 01/2022 to present
- Co-Owner & Consultant, Shinjuku Station Restaurant from 01/2022 to present
- Co-Owner & Managing Partner, Shinjuku Station Restaurant Group from 08/2010 to 12/2021
- Financial Planner, Lincoln Financial Advisors from 01/2007 to 05/2010

PROFESSIONAL DESIGNATIONS:

Certified Financial Planner (CFP®), College for Financial Planning, 2009

ITEM 3. DISCIPLINARY INFORMATION:

None

ITEM 4. OTHER BUSINESS ACTIVITIES:

None

ITEM 5. ADDITIONAL COMPENSATION:

None

ITEM 6. SUPERVISION:

Mr. Kha currently serves as a Financial Planner for the firm. He provides financial planning services to assigned clients. The number of clients each team member is assigned will vary.

FCA has developed policies and procedures which are designed to standardize processes and internal controls for the company. Every employee is required to be responsible for preventing and reporting any activities inconsistent with the firm's Code of Ethics, procedures, policies or legal/regulatory requirements.

Mr. Kha is supervised by Christina Scharar Doherty, who can be reached at (713) 781-2856.

ITEM 1. SUPERVISED PERSON: JEFFERY RUMFIELD

Financial Planning Associate

791 Town & Country Blvd #250 | Houston, TX 77024

Phone | (713) 260-1410

Fax | (713) 583-3768

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Additional information about the abovementioned individual is available on the SEC's website at <https://adviserinfo.sec.gov/>

ITEM 2. EDUCATIONAL BACKGROUND | BUSINESS EXPERIENCE:

Jeffery Rumfield

Born: 1995

EDUCATION:

- Graduated from Texas A&M University with a Bachelor of Science in Agricultural Economics in 2018.

- Graduated from Texas Tech University with a Master of Science in Personal Financial Planning in 2021

RECENT EMPLOYMENT HISTORY:

- Financial Planning Associate, FCA Corp from 12/2021 to present
- Financial Planning Associate, Baker Tilly Wealth Management from 06/2021 to 11/2021
- Financial Planning Intern, Kennedy Financial Services from 06/2020 to 05/2021

PROFESSIONAL DESIGNATIONS:

Certified Financial Planner (CFP®), College for Financial Planning, 2022

Mr. Rumfield is a current Certified Financial Planner with the College for Financial Planning.

ITEM 3. DISCIPLINARY INFORMATION:
None

ITEM 4. OTHER BUSINESS ACTIVITIES:
None

ITEM 5. ADDITIONAL COMPENSATION:
None

ITEM 6. SUPERVISION:

Mr. Rumfield currently serves as a Financial Planning Associate for the firm. He provides assistance to the financial planning team. The number of clients each team member is assigned will vary.

FCA has developed policies and procedures which are designed to standardize processes and internal controls for the company. Every employee is required to be responsible for preventing and reporting any activities inconsistent with the firm's Code of Ethics, procedures, policies or legal/regulatory requirements.

Mr. Rumfield is supervised by Christina Scharar Doherty, who can be reached at (713) 781-2856.