

JOHN OTT

LEGACY PLANNING & ASSOCIATES, INC.
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GRAND RAPIDS, MI 49546
(616) 719-2930

FIRM SUPPLEMENTAL BROCHURE ADV PART 2B MARCH 23, 2021

This Brochure Supplement provides information about John Ott that supplements the Legacy Planning & Associates, Inc brochure. You should have received a copy of that brochure. Please contact Mr. Ott at (616) 719-2930 if you did not receive Legacy Planning & Associates, Inc's Brochure or if you have any questions about the contents of this supplement.

Additional information about John Ott is available on the SEC's website at www.adviserinfo.sec.gov. You can search this site by a unique identifying number, known as a CRD number. The CRD number for Mr. Ott is 3072024.

Item 2 – Educational Background and Business Experience

John Ott

Born: 1951

Education:

Aquinas College – Graduated 1991

University of Toledo – Graduated 1972

Chartered Life Underwriter, CLU®

Issued By: The American College

Prerequisites/Experience Required: 3 years of full-time business experience within the 5 years preceding the awarding of the designation.

Education Requirements: 8 core and 2 elective courses

Examination Type: Final proctored exam for each course

Continuing Education/ Experience Requirements: 30 CE credits every 2 years

Chartered Financial Consultant, ChFC®

Issued By: the American College

Prerequisites/Experience Required: 3 years of full-time business experience within the 5 years preceding the awarding of the designation.

Educational Requirements: 6 core and 2 elective courses

Examination Type: Final proctored exam for each course

Continuing Education/Experience Requirements: 30 CE credits every 2 years

Certified Financial Planner, CFP®

Issued By: Certified Financial Planner Board of Standards, Inc.

Prerequisites/Experience Required: Candidate must meet the following requirements:

- A bachelor's degree (or higher) from an accredited college or university, and 3 years of full-time personal financial planning experience.

Educational Requirements: Candidate must complete a CFP-board registered program, or hold one of the following: CPA; ChFC; Chartered Life Underwriter (CLU); DFA; Ph.D. in business or economics; Doctor of Business Administration; or Attorney's License.

Examination Type: CFP Certification Examination

Continuing Education/Experience Requirements: 30 hours every 2 years.

Business Background:

Legacy Planning & Associates, Inc. – November 2010 to Present

– Partner

American Portfolios Financial Services–November 2010 to June 2018

– Registered Assistant

Regal Investment Advisors, LLC – November 2010 to August 2013

– Investment Advisor Representative

New England Securities – June 1998 to November 2010

– Financial Advisor

Catholic Human Development Outreach – April 1991 to June 1998

– President

Heart of West Michigan United Way – November 1983 to April 1991

– Division Director

Item 3 – Disciplinary Information

Registered investment adviser representatives are required to disclose all material facts regarding any legal or disciplinary events that could be material to your evaluation of each supervised person providing investment advice. These include the following:

- A. A criminal or civil action in a domestic, foreign or military court of competent jurisdiction in which the *supervised person*
1. was convicted of, or pled guilty or nolo contendere (“no contest”) to (a) any *felony*; (b) a *misdemeanor* that *involved* investments or an *investment-related* business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses;
 2. is the named subject of a pending criminal *proceeding* that involves an *investment-related* business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;
 3. was *found* to have been *involved* in a violation of an *investment-related* statute or regulation; or
 4. was the subject of any *order*, judgment, or decree permanently or temporarily enjoining, or otherwise limiting, the *supervised person* from engaging in any *investment-related* activity, or from violating any *investment-related* statute, rule, or *order*.

Mr. Ott has no information applicable to this item.

- B. An administrative *proceeding* before the SEC, any other federal regulatory agency, any state regulatory agency, or any *foreign financial regulatory authority* in which the *supervised person*
1. was *found* to have caused an *investment-related* business to lose its authorization to do business; or
 2. was *found* to have been *involved* in a violation of an *investment-related* statute or regulation and was the subject of an *order* by the agency or authority
 - i. denying, suspending, or revoking the authorization of the *supervised person* to act in an *investment-related* business;
 - ii. barring or suspending the *supervised person's* association with an *investment-related* business;

- iii. otherwise significantly limiting the *supervised person's investment-related* activities; or
- iv. imposing a civil money penalty of more than \$2,500 on the *supervised person*.

Mr. Ott has no information applicable to this item.

C. *A self-regulatory organization (SRO) proceeding* in which the *supervised person*

- 1. was *found* to have caused an *investment-related* business to lose its authorization to do business; or
- 2. was *found* to have been *involved* in a violation of the *SRO's* rules and was: (i) barred or suspended from membership or from association with other members or was expelled from membership; (ii) otherwise significantly limited from *investment-related* activities; or (iii) fined more than \$2,500.

Mr. Ott has no information applicable to this item.

- D. Any other *proceeding* in which a professional attainment, designation, or license of the *supervised person* was revoked or suspended because of a violation of rules relating to professional conduct. If the *supervised person* resigned (or otherwise relinquished his attainment, designation, or license) in anticipation of such a *proceeding* (and the adviser knows, or should have known, of such resignation or relinquishment), disclose the event.

Mr. Ott has no information applicable to this item.

Item 4 – Other Business Activities

Mr. Ott has no other business activities to report.

Item 5 – Additional Compensation

Mr. Ott does not receive any additional compensation.

Item 6 – Supervision

Mr. Ott is supervised by Michael Wood the firm's managing member and Chief Compliance Officer. Mr. Wood will review all new accounts opened by Mr. Ott. You may contact Mr. Wood at (616) 719-2930.

Item 7 – Requirements for State-Registered Advisers

A. Mr. Ott has **NOT** been involved in any of the events listed below.

- 1. An award or otherwise being *found* liable in an arbitration claim alleging damages in excess of \$2,500, *involving* any of the following:
 - (a) an investment or an *investment-related business* or activity;
 - (b) fraud, false statement(s), or omissions;
 - (c) theft, embezzlement, or other wrongful taking of property;
 - (d) bribery, forgery, counterfeiting, or extortion; or

- (e) dishonest, unfair, or unethical practices.
- 2. An award or otherwise being *found* liable in a civil, *self-regulatory organization*, or administrative *proceeding involving* any of the following:
 - (a) an investment or an investment-related business or activity;
 - (b) fraud, false statement(s), or omissions;
 - (c) theft, embezzlement, or other wrongful taking of property;
 - (d) bribery; forgery, counterfeiting, or extortion; or
 - (e) dishonest, unfair, or unethical practices.
- B. Mr. Ott has **NOT** been the subject of a bankruptcy petition at any time.