

## FORM ADV PART 2B BROCHURE SUPPLEMENT

Tait C. Lane

### **Item 1 – Cover Page**

Tait C. Lane  
Triad Investment Management, LLC  
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Issaquah, Washington 98027  
425-392-2200

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**This brochure supplement provides information about Tait C. Lane that supplements the Triad Investment Management disclosure brochure. You should have received a copy of that brochure. Please contact Tait Lane at 425-392-2200 or at [tait@triad-fs.com](mailto:tait@triad-fs.com) if you did not receive Triad Investment Management’s brochure or if you have any questions about the contents of this supplement.**

**Additional information about Tait C. Lane is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

### **Item 2 – Educational Background and Business Experience**

#### **Tait C. Lane**

Born: 1976  
CRD # 4295962

#### ***Post Secondary Educational Background:***

Seattle Pacific University, Degree in Finance and Accounting: 2001

#### ***Business Background:***

Triad Financial Strategies, President, 01/2010 to Present;  
Triad Investment Management, Investment Advisor Representative, 11/2018 to Present;  
LPL Financial LLC, Registered Representative, 01/2010 to Present;  
Financial Advocates Investment Management, Investment Adviser Representative, 05/2014 to 03/2019  
Principal Funds Distributor, Inc., Regional Vice President, 02/2003 to 12/2009.

### **Item 3 – Disciplinary Information**

Tait Lane has no legal or disciplinary events to report.

## **Item 4 – Other Business Activities**

### **Registered Representative of a Broker-Dealer**

Tait Lane is separately licensed as a registered representative with LPL Financial LLC (“LPL”), a registered securities broker/dealer, member of the Financial Industry Regulatory Authority (FINRA) and the Securities Investors Protection Corporation (SIPC). When acting in his separate capacity as a registered representative of LPL, Tait Lane may sell, for commissions, general securities products such as stocks, bonds, mutual funds, exchange-traded funds, and variable annuity and variable life products to advisory clients. As such, Tait Lane may suggest that advisory clients implement investment advice by purchasing securities products through a commission-based LPL account in addition to a Triad Investment Management advisory account.

The receipt of commissions creates an incentive for Tait Lane to recommend those products for which he will receive a commission. Consequently, the objectivity of the advice rendered to clients could be biased. Tait Lane controls for this potential conflict of interest by discussing with clients the advantages and disadvantages of establishing a fee-based account through Triad Investment Management versus establishing a commission-based account through LPL. Triad Investment Management does not require its advisor representatives to encourage clients to implement investment advice through LPL.

Tait Lane does not earn commissions in fee-based accounts.

Tait Lane will receive 12b-1 fees from certain mutual fund companies as outlined in the fund’s prospectus. 12b-1 fees come from fund assets, therefore, indirectly from client assets. The receipt of such fees could represent an incentive for Tait Lane to recommend funds with 12b-1 fees over funds that have no fees or lower fees. Typically, Tait Lane will receive 12b-1 fees only in commission-based brokerage accounts. For ERISA accounts, there is an offset for any amount of 12b-1 fees. In such a situation, Tait Lane discusses with clients the selection of a 12b-1 or other trail paying mutual funds. LPL maintains records of all 12b-1 fee payments to Tait Lane which may be viewed by clients upon request.

Clients are never obligated or required to establish accounts through Triad Investment Management or LPL. However, if a client does not choose to accept Tait Lane’s advice or decides not to establish an account through LPL, Tait Lane will not be able to provide management and advisory services to the client. Tait C. Lane must place all purchases and sales of securities products in commission-based brokerage accounts through LPL or its other approved institutions.

### **Insurance Agent**

Tait Lane is independently licensed to sell insurance and annuity products through various insurance companies. When acting in this capacity, Tait Lane will receive commissions for selling insurance and annuity products.

Tait Lane may also receive other incentive awards for the recommendation/sale of annuities and other insurance products. The receipt of compensation and other incentive benefits may affect the judgment of Tait Lane when recommending products to its clients. While Tait Lane endeavors at all times to put the interest of his clients first as a part of Triad Investment Management’s overall fiduciary duty to clients, clients should be aware that the receipt of commissions and additional compensation itself creates a conflict of interest and may affect Tait Lane’s decision-making process when making recommendations.

Clients are never obligated or required to purchase insurance products from or through Tait Lane and may choose any independent insurance agent and insurance company to purchase insurance products.

Regardless of the insurance agent selected, the insurance agent or agency will receive normal commissions from the sale.

#### **Item 5 – Additional Compensation**

In addition to the description of additional compensation provided in Item 4, Tait Lane can receive additional benefits.

Certain product sponsors may provide Tait Lane with other economic benefits as a result of his recommendation or sale of the product sponsors' investments. The economic benefits received by Tait Lane from product sponsors can include but are not limited to, financial assistance or the sponsorship of conferences and educational sessions, marketing support, incentive awards, payment of travel expenses, and tools to assist Tait Lane in providing various services to clients.

Although Triad Investment Management and Tait Lane endeavor at all times to put the interest of its clients ahead of its own or those of its officers, directors, or representatives ("affiliated persons"), these arrangements could affect the judgment of Tait Lane when recommending investment products. These situations present a conflict of interest that may affect the judgment of affiliated persons including Tait Lane.

#### **Item 6 – Supervision**

Randall Kim is the Chief Compliance Officer of Triad Investment Management. He is responsible for overseeing and enforcing the firm's compliance programs that have been established to monitor and supervise the activities and services provided by the firm and its representatives, including Tait Lane. He can be contacted at 425-289-3450.