



Part 2B of Form ADV: *Brochure Supplement*

**Item 1: Cover Page**

# HBC Financial Services, PLLC

1200 Westlake Avenue N, Suite 902

Seattle, Washington 98109

206-548-5000

[www.advisorcpa.com](http://www.advisorcpa.com)

February 29, 2024

A. Our principals and supervised persons are:

James B. Claypool, CPA, PFS  
James D. Guard III, CPA, PFS  
Janon L. Niess, CPA, PFS

We all work out of the same office and have the same business phone number.

B. This brochure supplement provides information about the above-named individuals that supplements the HBC Financial Services, PLLC brochure. You should have received a copy of that brochure. Please contact James Guard if you did not receive HBC Financial Services, PLLC's brochure or if you have any questions about the contents of this supplement.

Additional information about the above-named individuals is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

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**Item 2: Educational Background and Business Experience**

Principals and Supervised Persons:

James B. Claypool, CPA, PFS - Member: Born in 1965, Jim earned a Bachelor of Arts Degree in Accounting from Seattle University in 1987. Since graduation, he has worked in accounting as a CPA and consultant in the financial service industry and in private industry as a General Manager. In 1998, Jim earned his MBA from UCLA. Jim is also a member in the accounting firm of Harrison Berkman Claypool & Guard, PLLC. He has been employed by or a principal in the firms or their predecessors since 2001.

James D. Guard III, CPA, PFS - Member: Born in 1969, Jay earned a Bachelor of Arts Degree in Philosophy from the University of Washington in 1991. Since graduation, he has worked in accounting as a CPA and in private industry as a financial officer, and is a member in the accounting firm of Harrison Berkman Claypool & Guard, PLLC. Jay has been employed by or a principal in the firms or their predecessors since 2007.

Janon L. Niess, CPA, PFS - Member: Born in 1980, Janon earned a Bachelor of Arts Degree in Accounting from Seattle University in 2005. Since graduation, she has worked in accounting as a CPA for various public accounting firms. Janon also works in the accounting firm of Harrison Berkman Claypool & Guard, PLLC. Janon has been employed by or a principal in the firms or their predecessors since 2016.

The *CPA* designation means Certified Public Accountant. Administered by the American Institute of Certified Public Accountants, minimum qualifications to obtain the CPA designation include minimum college education hours, the passing of an exam, and in some cases specific work experience. Once the designation is earned, maintenance of the credential requires minimum continuing education requirements.

The *PFS* designation means Personal Financial Specialist. Administered by the American Institute of Certified Public Accountants, this designation is available only to CPAs who also complete and maintain requirements similar in nature to that of a Certified Financial Planner, including the initial passing of a test and continuing education.

**Item 3: Disciplinary Action**

There are *no* legal or disciplinary events material to a client's or prospective client's evaluation of our principals or supervised persons.

**Item 4: Other Business Activities**

- A. None of our principals or supervised persons are actively engaged in any other investment-related business or occupation, nor are any of them registered, or have an application pending to register, as a broker-dealer, registered representative of a broker-dealer, futures commission merchant ("FCM"), commodity pool operator

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("CPO"), commodity trading advisor ("CTA"), or an associated person of an FCM, CPO, or CTA.

- B. All of our principals and supervised persons are also principals or employees and practitioners with Harrison Berkman Claypool & Guard, PLLC ("Accounting Firm"), a certified public accounting firm that shares office space and administrative personnel with us. This business activity *does* provide us with a substantial source of income as well as involve a substantial amount of our time.

**Item 5: Additional Compensation**

No one who is not a client provides an economic benefit to our principals or supervised persons for providing advisory services.

**Item 6: Supervision**

Supervision includes substantial training in using our tools and methodology for providing both financial planning and investment advisory services. Due to the small size of our firm, we are also able to maintain ongoing in-depth dialogues with each other concerning all of our clients. This serves two purposes: 1) provides automatic review of ideas, plans, and advice to be given to our clients, and 2) allows any of us to step in for another if necessary. Therefore, we are all responsible for supervising each other's advisory activities on behalf of our firm.

**Item 7: Requirements for State-Registered Advisers**

- A. None of our principals or supervised persons has been involved in any of the following:
1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500.
  2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding.
- B. None of our principals or supervised persons has been involved in a bankruptcy petition.