

Item 1 - Cover Page



Bryant & Brannock, LLC

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Durham, NC 27713

(919) 493-4614

[www.Bryant-Brannock.com](http://www.Bryant-Brannock.com)

[www.linkedin.com/company/bryant-investment-management-group-llc](http://www.linkedin.com/company/bryant-investment-management-group-llc)

March 19, 2026

CRD 148254

This Brochure provides information about the qualifications and business practices of Bryant & Brannock, LLC. If you have any questions about the contents of this Brochure, please contact us at (919)493-4614. The information in this Brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Bryant and Brannock, LLC is a registered investment adviser. Registration of an Investment Adviser does not imply any level of skill or training. The oral and written communications of an Adviser provide you with information about which you determine to hire or retain an Adviser. Additional information about Bryant & Brannock, LLC also is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 – Material Changes

Assets under management for the firm have been updated as follows:

### Bryant & Brannock Assets Under Management as of 3/21/2025

Discretionary - \$19,949,344.00

Non Discretionary - \$34,891,728.00

Total - \$54,841,071.00

### Bryant and Brannock Assets under Management as of 3/19/2026

Discretionary - \$23,886,546.00

Non Discretionary - \$39,023,756.00

Total - \$62,910,302.00

This information can be found on page 3 under Item 4 – Advisory Business of this document.

Educational information for William Bryant has been updated to include the following:

University of North Carolina at Pembroke, (Pembroke, NC) Master of Business Administration, 2025

This information can be found on page 17 under Item 19A – Requirements for State Registered Investment Advisers - Education

Currently, our Brochure may be requested by contacting Bill Bryant, Managing Member, at (919) 493-4614.

Additional information about Bryant & Brannock, LLC is also available via the SEC's web site [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). The SEC's web site also provides information about any persons affiliated with Bryant & Brannock, LLC who are registered, or are required to be registered, as investment adviser representatives of Bryant & Brannock, LLC.

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## Item 4 – Advisory Business

Bryant & Brannock, LLC was initially registered on October 8, 2008, as Bryant Investment Management Group, LLC and became Bryant & Brannock, LLC on May 1, 2016. Bryant & Brannock is owned by William H. Bryant, Jr., Managing Partner, and Michael A. Brannock, Partner

Bryant & Brannock, LLC offers the following services to advisory clients.

### Pension Consulting

*Investment Policy Statement Preparation ("IPS"):* Bryant & Brannock will meet with the client (in person or over the telephone) to determine the client's investment needs and goals. Bryant & Brannock will then prepare a written IPS stating those needs and goals and encompassing a policy under which these goals are to be achieved. The IPS will also list the criteria for selection of investment vehicles and the procedures and timing intervals for monitoring of investment performance.

*Selection of Investment Vehicles:* Bryant & Brannock will review various investments, consisting of mutual funds (both index and managed) Exchange Traded Funds, and other appropriate investment options as necessary, to determine which of these investments are appropriate to implement the client's IPS. The number of investments to be recommended will be determined by the client, based on the Investment Policy Statement.

*Monitoring of Investment Performance:* Client investments will be monitored continuously based on the procedures and timing intervals delineated in the Investment Policy Statement. Although Bryant & Brannock will not be involved in any way in the purchase or sale of these investments, Bryant & Brannock will supervise the client's portfolio and will make recommendations to the client as market factors and the client's needs dictate.

*Employee Communications:* For pension, profit sharing, and 401 (k) plan clients where there are individual accounts with participants exercising control over assets in their own account ("self-directed plans"), Bryant & Brannock also provides quarterly educational support and investment workshops designed for the Plan participants. The nature of the topics to be covered will be determined by Bryant & Brannock and the client under the guidelines established in ERISA Section 404(c). The educational support and investment workshops will NOT provide Plan participants with individualized, tailored investment advice or individualized, tailored asset allocation recommendations.

## Financial Planning

Bryant & Brannock also provides advice in the form of a Financial Plan. Clients purchasing this service will receive a written report, providing the client with a detailed financial plan designed to achieve his or her stated financial goals and objectives. In general, the financial plan will address any or all of the following areas of concern:

*Personal:* Family records, budgeting, personal liability, estate information and financial goals.

*Education:* Education IRAs, financial aid, state savings plans grants and general assistance in preparing to meet dependent's continuing educational needs through development of an education plan.

*Tax & Cash Flow:* Income tax and spending analysis and planning for past, current and future years. Bryant & Brannock will illustrate the impact of various investments on a client's current income tax and future tax liability.

*Death & Disability:* Cash needs at death, income needs of surviving dependents, estate planning and disability income analysis.

*Retirement:* Analysis of current strategies and investment plans to help the client achieve his or her retirement goals.

*Investments:* Analysis of investment alternatives and their effect on a client's portfolio.

Bryant & Brannock gathers required information through in-depth personal interviews. Information gathered includes a client's current financial status, future goals and attitudes towards risk. Related documents supplied by the client are carefully reviewed, including a questionnaire completed by the client, and a written report is prepared. Should a client choose to implement the recommendations contained in the plan, Bryant & Brannock suggests the client work closely with his/her attorney, accountant, insurance agent, and/or stockbroker. Implementation of financial plan recommendations is entirely at the client's discretion.

Financial Planning recommendations are not limited to any specific product or service offered by a broker dealer or insurance company.

### General Consulting

Clients can also receive investment advice on a more limited basis. This may include advice on only an isolated area(s) of concern such as estate planning, retirement planning, reviewing a client's existing portfolio, or any other specific topic. Bryant & Brannock also provides specific consultation and administrative services regarding investment and financial concerns of the client. Additionally, Bryant & Brannock provides advice on non-securities matters. Generally, this is in connection with the rendering of estate planning, insurance, and/or annuity advice.

Consulting recommendations are not limited to any specific product or service offered by a broker dealer or insurance company. All recommendations are of a generic nature.

### Portfolio Management Services

Bryant & Brannock, LLC offers discretionary and non-discretionary portfolio management services where the investment advice provided is tailored to meet the needs and investment objectives of the client. The Firm offers an initial complimentary consultation in which pertinent information about the client's personal and financial circumstances and objectives is collected, and the scope of the engagement is determined.

For discretionary arrangements with clients, Bryant & Brannock will be granted discretion and authority to manage the client's account subject to any written guideline that the client may provide. Bryant & Brannock is authorized to perform various functions, at the client's expense, without further approval from the client. Such functions may include the determination of securities to be purchased / sold, the broker-dealer to be used, and the applicable commission rate(s). Once the portfolio is constructed, Bryant & Brannock provides ongoing supervision and rebalancing of the portfolio as changes in market conditions and client circumstances may require.

For non-discretionary portfolio management services, Bryant & Brannock will periodically monitor the client's assets and will provide recommendations as to the client's asset allocation. The client is free at all times to accept or reject any investment recommendation from Bryant & Brannock. For non-discretionary portfolio management, Bryant & Brannock will implement recommendations upon obtaining client approval.

### Bryant & Brannock Assets Under Management as of 3/19/2026

Discretionary - \$23,886,546.00

Non Discretionary - \$39,023,756.00

Total - \$62,910,302.00

## **Item 5 – Fees and Compensation**

### Pension Consulting

Bryant & Brannock offers several fee options to Pension Consulting clients. Bryant & Brannock may be compensated based on an annual percentage of plan assets (see fee schedule below) for services involving ongoing reviews, or it may be compensated by an hourly fee. Plan sponsors will be invoiced in arrears at the end of each calendar quarter or as agreed to at the start of the relationship. Fees will be based upon the value of the plan at the end of the previous period. Fees will not be adjusted based on additions and withdrawals during the calendar quarter.

### **Fee Schedule**

#### Percentage of Plan Assets

\$0 - \$999,999	.50%
\$1,000,000 – \$4,999,999	.40%
\$5,000,000 - \$9,999,999	.30%
\$10,000,000 - \$19,999,999	.20%
\$20,000,000 and over	Negotiable

Bryant & Brannock's hourly charges range from \$100 to \$250 per hour. A fixed fee may be quoted based on an estimate of hours for the services requested. Bryant & Brannock may request a retainer for hourly and fixed fee arrangements. The amount of a requested retainer will never exceed the fee for services to be provided within the first six months of an engagement. Upon termination, any prepaid but unearned fees will be refunded, and any earned but unpaid fees will be due and payable.

These different types of fees may also be combined as appropriate for the different types of services requested by the client. Pension Consulting clients are required to have a minimum of \$1,000,000 of plan assets for this service. This account size may be negotiable under certain circumstances.

Associated persons of Bryant & Brannock may receive 12b-1 distribution fees from the investment companies chosen by the plan sponsor. Bryant & Brannock will provide full disclosure to plan sponsors regarding such fees. Bryant & Brannock will offset any fees received by such associated persons from the advisory fees charged by Bryant & Brannock for ongoing services. The receipt of such fees and their availability from different vendors may create conflicts of interest as they give Bryant & Brannock an incentive to base recommendations on compensation received, rather than on client's needs.

### Financial Planning

Fee Schedule: Financial planning fees will be charged in one or both of the following ways:

1. As a fixed fee, typically ranging from \$500 to \$5,000.
2. On an hourly basis, ranging from \$100 to \$250 per hour.

Fees are payable either in advance or after services are rendered, as agreed upon by the parties, as follows:

In advance. In this case fees for consulting services rendered will be calculated and billed in accordance with the hourly, quarterly, or other fee arrangement agreed to by the parties. If you terminate early, fees will be calculated and billed on a pro rata basis in accordance with the hourly, quarterly or other fee arrangement agreed to by the parties.

After services are rendered. In this case, upon termination, you will be billed for the portion of the fee allocable from the last day of the previous billing period to the day that Bryant & Brannock receives notice of the Agreement's termination. If you terminate early, fees will be calculated and billed on a pro rata basis in accordance with the hourly, quarterly or other fee arrangement agreed to by the parties.

Invoices will be rendered by your Investment Advisory Representative.

However, all payments for consulting services fees are to be made in the form of a check made payable to Bryant and Brannock, LLC. If advance payment is requested the payment will not exceed \$500.00 and the plan will be delivered within six months from the date of payment. The balance will be due upon completion of the plan.

Bryant & Brannock's financial planning fee(s) will be determined based on the nature of the services being provided, the complexity of each client's circumstances, and negotiations with the client. All fees are agreed upon prior to entering into a contract with any client.

The length of time it will take to provide a financial plan will depend on each client's personal situation.

### General Consulting

Fee Schedule: Fees for specific administrative and consulting services will be billed one or both of the following ways:

1. A fixed fee, typically ranging from \$500 to \$5,000.
2. On an hourly basis, from \$100 to 250 per hour, upon mutual agreement with the client, and shall be due and payable as earned.

Fees are payable either in advance or after services are rendered, as agreed upon by the parties, as follows:

In advance. In this case fees for consulting services rendered will be calculated and billed in accordance with the hourly, quarterly, or other fee arrangement agreed to by the parties. If you terminate early, fees will be calculated and billed on a pro rata basis in accordance with the hourly, quarterly, or other fee arrangement agreed to by the parties.

After services are rendered. In this case, upon termination, you will be billed for the portion of the fee allocable from the last day of the previous billing period to the day that Bryant & Brannock receives notice of the Agreement's termination. If you terminate early, fees will be calculated and billed on a pro rata basis in accordance with the hourly, quarterly, or other fee arrangement agreed to by the parties.

Invoices will be rendered by your Investment Advisory Representative.

However, all payments for consulting services fees are to be made in the form of a check made payable to Bryant and Brannock, LLC. If advance payment is requested the payment will not exceed \$500.00 and the general consulting plan will be delivered within six months from the date of payment. The balance will be due upon completion of the plan.

Bryant & Brannock's general consulting fee(s) will be determined based on the nature of the services being provided, the complexity of each client's circumstances, and negotiations with the client. All fees are agreed upon prior to entering into a contract with any client. The length of time it will take to provide a general consulting plan will depend on each client's personal situation.

### Portfolio Management Services

The annual fee for portfolio management services is billed quarterly in advance based on the asset value on the last business day of the preceding calendar quarter. Fees will be assessed pro rata in the event the portfolio management agreement is executed at any time other than the first day of a calendar quarter. The annualized fees for discretionary and non-discretionary portfolio management services are based on the following tiered fee schedule:

Assets Under Management	Maximum Annual Advisory Rate
\$0 – \$1,000,000	1.15%
\$1,000,001 – \$2,000,000	.95%
Over \$2,000,000	Negotiable

Portfolio Management fees cover, as applicable, investment planning, asset allocation services, securities review, evaluation, and performance measurement, but do not cover any national securities exchange fees; charges for transactions, including brokerage commissions, costs associated with exchanging currencies, fees and expenses charged by funds selected by the client or any investment company in which account assets may be invested; wire transfer or other service fees; or other fees required by law.

Portfolio management fees may be negotiable depending on factors such as the amount of assets under management, range of investments, and complexity of the client's financial circumstances, among others. In its discretion, Bryant & Brannock may allow accounts of members of the same household to be aggregated for purposes of determining the advisory fee. This consolidation practice is designed to allow clients the benefit of an increased asset total, which could potentially result in a reduced advisory fee based on the Firm's above referenced fee schedule. Bryant & Brannock typically requires that payment of management fees be made by the custodian holding the clients' funds and securities provided that the following requirements are met:

- The client provides written authorization permitting the fees to be paid directly from the client's account held by the custodian. The Firm does not have access to client funds for payment of fees without client consent in writing.
- The Firm sends the client an invoice showing the amount of the fee, the value of the client's assets on which the fee is based, and the specific manner in which the fee was calculated.
- The custodian agrees to provide the client and the adviser with a statement, at least quarterly, indicating all amounts dispersed from the account including the amount of the advisory fee paid directly to the Firm.

In limited circumstances, upon request, Bryant & Brannock may agree to directly invoice clients for advisory fees. In such cases, fees will be payable as invoiced instead of directly debited.

**Termination:** A client agreement may be terminated by either party at any time without penalty upon receipt of written notice. Such termination shall not, however, affect liabilities or obligations incurred or arising from recommendations initiated under this Agreement prior to such termination. If Client terminates this Agreement within five (5) business days of its signing, Client shall receive a full refund of all consulting fees. If this Agreement is terminated after five (5) business days of its signing, any prepaid consulting fees shall be prorated and the unused portion shall be returned to Client.

**Other Fees and Expenses:** All fees paid to Bryant & Brannock for investment advisory or solicitation services are separate and distinct from the fees and expenses charged by mutual funds and exchange-traded funds (ETFs) to their shareholders. These fees and expenses are described in each fund's prospectus. These fees will generally include a management fee, other fund expenses, and a possible distribution fee. If the fund also imposes sales charges, a client may pay an initial or deferred sales charge. A client could invest in a mutual fund or ETF directly, without the services of Bryant & Brannock. In that case, the client would not receive the services provided by Bryant & Brannock which are designed, among other things, to assist the client in determining which fund or funds are most appropriate to each client's financial condition and objectives. Accordingly, the client should review both the fees charged by the funds and the fees charged by Bryant & Brannock to fully understand the total amount of fees to be paid by the client and to thereby evaluate the advisory services being provided.

## **Account Minimums**

Bryant & Brannock requires the following minimum account values:

Pension Consulting - None

Financial Planning and General Consulting - None

Portfolio Management Services - None

## **Item 6 – Performance-Based Fees and Side-By-Side Management**

Bryant & Brannock does not charge any performance-based fees (fees based on a share of capital gains on or capital appreciation of the assets of a client).

## **Item 7 – Types of Clients**

Bryant & Brannock provides advisory services to the following types of clients:

Individuals

High-Net-Worth Individuals

Pension and Profit Sharing Plans

Corporations or Business Entities

## **Item 8 – Methods of Analysis, Investment Strategies and Risk of Loss**

**“Investing in securities involves risk of loss that clients should be prepared to bear.”**

Bryant & Brannock’s methods of analysis include fundamental analysis and technical analysis.

**Fundamental analysis** involves the analysis of financial statements, the general financial health of companies, and/or the analysis of management or competitive advantages. Risks include: inaccurate analysis of future growth rates and profitability, material inaccuracies in reported financial statements and general market risk.

**Technical analysis** involves the analysis of past market data; primarily price and volume. Risks include: transaction costs associated with more frequent trading, and historical price and volume patterns not repeating themselves.

Bryant & Brannock uses Long Term Trading Purchases, Short Term Purchases and Options strategies.

Frequent trading, when done, can affect investment performance, particularly through increased brokerage and other transaction costs and taxes.

Certain Options strategies can involve significant risk. Clients will receive an additional Options Disclosure Document detailing strategies and the risk’s involved.

## **Item 9 – Disciplinary Information**

There are no legal or disciplinary events that are material to a client’s or prospective client’s evaluation of this advisory business or the integrity of our management.

## **Item 10 – Other Financial Industry Activities and Affiliations**

Investment Advisor Representatives (IARs) of Bryant & Brannock may be licensed to sell insurance products through various independent insurance agencies. These IARs, in their capacity as independent insurance agents, may sell insurance products to advisory clients. These individuals will receive normal and customary commissions as a result of selling insurance as well as advisory fees for providing advisory services through Bryant & Brannock. Clients are hereby advised that such commissions and advisory fees are separate and apart from the fees charged by the Firm.

Relationships like this, can cause a conflict of interest as IARs of Bryant & Brannock have an incentive to recommend products through these relationships based on compensation received rather than on clients needs.

Clients are under no obligation to purchase products recommended by IARs or to purchase products through Bryant & Brannock.

IARs of Bryant & Brannock may spend as much as 50% of their time with all of these related activities.

## **Item 11 – Code of Ethics**

Bryant & Brannock has adopted a Code of Ethics which sets forth high ethical standards of business conduct that Bryant & Brannock requires of its employees, including compliance with applicable federal securities laws. Our Code of Ethics includes policies and procedures for the review of quarterly securities transactions reports as well as initial and annual securities holdings reports that must be submitted by Bryant & Brannock's access persons. Among other things, Bryant & Brannock's Code of Ethics also requires the prior approval of any acquisition of securities in a limited offering (e.g., private placement) or an initial public offering. Our code provides for oversight, enforcement and recordkeeping provisions. A copy of Bryant & Brannock's Code of Ethics is available to Bryant & Brannock's advisory clients and prospective clients upon request to Bill Bryant, Managing Member, at Bryant & Brannock's principal office address.

Bryant & Brannock or individuals associated with Bryant & Brannock may buy or sell securities identical to or different than those recommended to clients for their personal

accounts. In addition, any related person(s) may have an interest or position in a certain security(ies) which may also be recommended to a client.

It is the expressed policy of Bryant & Brannock that no person employed by Bryant & Brannock may purchase or sell any security prior to a transaction(s) being implemented for an advisory account, and therefore, preventing such employees from benefiting from transactions placed on behalf of advisory accounts.

As these situations represent a conflict of interest, Bryant & Brannock has established the following restrictions in order to ensure its fiduciary responsibilities:

- 1) A Member or employee of Bryant & Brannock shall not buy or sell securities for their personal portfolio(s) where their decision is substantially derived, in whole or in part, by reason of his or her employment unless the information is also available to the investing public on reasonable inquiry. No person of Bryant & Brannock shall prefer his or her own interest to that of the advisory client.
- 2) Bryant & Brannock maintains a list of all securities holdings for itself, and anyone associated with this advisory practice with access to advisory recommendations. At such time as Bryant & Brannock has more than one employee with access to advisory recommendations, these holdings are reviewed on a regular basis by Bill Bryant, Managing Member of Bryant & Brannock, or another appropriate officer/individual of Bryant & Brannock.
- 3) Neither Bryant & Brannock nor its associated persons will effect securities transactions or purchase insurance and/or insurance-related investment products for investment advisory clients of Bryant & Brannock.
- 4) Bryant & Brannock emphasizes the unrestricted right of the client to decline to implement any advice rendered.
- 5) Bryant & Brannock emphasizes the unrestricted right of the client to select and choose any broker or dealer and/or insurance company (s)he wishes.
- 6) Bryant & Brannock requires that all individuals must act in accordance with all applicable Federal and State regulations governing registered investment advisory practices.
- 7) Any individual not in observance of the above may be subject to termination.

## **Item 12 - Brokerage Practices**

### Pension Consulting

Bryant & Brannock does not arrange for the execution of securities transactions for pension plans as part of this service. The client is responsible for the implementation of securities transactions for these accounts.

### Financial Planning / General Consulting

Bryant & Brannock's financial planning and general consulting practice, due to the nature of its business and client needs, does not include blocking trades, negotiating commissions with broker dealers or obtaining volume discounts, nor necessarily obtaining the best price. Clients will be required to select their own broker dealers and insurance companies for the implementation of financial planning and/or consulting recommendations. Bryant & Brannock may recommend any one of several brokers. Bryant & Brannock clients must independently evaluate these brokers before opening an account. The factors considered by Bryant & Brannock when making this recommendation are the broker's ability to provide professional services, Bryant & Brannock's experience with the broker, the broker's reputation, and the broker's financial strength, among other factors. Bryant & Brannock's financial planning and consulting clients may use any broker or dealer of their choice.

### Portfolio Management Services

Bryant & Brannock will recommend that clients in need of brokerage and custodial services utilize Charles Schwab & Co, Inc., member NYSE and SIPC.

Bryant & Brannock believes that Charles Schwab provides best execution to Bryant & Brannock's clients. In seeking best execution, the determinative factor is not the lowest possible cost, but whether the transaction represents the best qualitative execution, taking into consideration the full range of the broker-dealer's services, including, among others, the value of research provided, execution capability, commission rates, and responsiveness. Paying a broker a higher commission rate than another broker might charge is permissible if the difference in cost is reasonably justified by the quality of the brokerage services offered.

### *Directed Brokerage*

In certain circumstances and at the Firm's discretion, some clients may instruct Bryant & Brannock to use one or more particular brokers for the transactions in their accounts. Clients who may want to direct the Firm to use a particular broker should understand that this may prevent Bryant & Brannock from effectively negotiating brokerage compensation on their behalf and may also prevent Bryant & Brannock from obtaining the most favorable net price and execution. Moreover, clients that direct brokerage may incur additional costs for performance reporting. Thus, when directing brokerage business, clients should consider whether the commission expenses, execution, clearance, and settlement capabilities that they will obtain through their broker are adequately favorable in comparison to those that Bryant & Brannock would otherwise obtain for its clients.

### **Item 13 - Review of Accounts**

#### Pension Consulting

Bryant & Brannock will review client investment policy statements whenever clients indicate a change in circumstances regarding the needs of the plan. Bryant & Brannock will also review the investment options of the plan according to the agreed upon time intervals established in the investment policy statement. Such reviews will be conducted by the Investment Advisory Representative assigned to the client.

These clients accounts will receive reports as contracted for at the inception of the advisory relationship, but no less than annually.

#### Financial Planning / General Consulting

The client accounts will be reviewed as contracted for at the inception of the advisory relationship, but no less than annually.

Financial planning clients will receive a completed financial plan. Additional reports will not typically be provided unless otherwise contracted for. Consulting clients will receive reports as contracted for at the inception of the advisory relationship, but no less than annually.

### Portfolio Management Services

The client accounts will be reviewed as contracted for at the inception of the advisory relationship, but no less than annually.

The client accounts will receive reports as contracted for at the inception of the advisory relationship, but no less than quarterly.

### **Item 14 – Client Referrals and Other Compensation**

Bryant & Brannock does not at present compensate any person for client referrals for any program or service described in this brochure.

### **Item 15 – Custody**

Bryant & Brannock does not accept custody of client funds or assets.

Clients will receive at least quarterly statements from the broker dealer, bank or other qualified custodian that holds and maintains client's investment assets. Bryant & Brannock urges you to carefully review such statements and compare such official custodial records to the account statements that we may provide to you. Our statements may vary from custodial statements based on accounting procedures, reporting dates, or valuation methodologies of certain securities.

### **Item 16 – Investment Discretion**

Clients can grant BIMG complete discretion over the selection and amount of securities to be purchased or sold, the broker-dealer to be used, and the commission rates to be paid for their account without obtaining their prior consent or approval. However, BIMG's investment authority may be subject to specified investment objectives, guidelines and/or conditions imposed by the client. For example, a client may specify that at the time of purchase the investment in any particular stock or industry should not exceed specified percentages of the value of the portfolio and/or restrictions or prohibitions of transactions in the securities of a specific industry. Where the Firm enters into non-discretionary arrangements with clients, Bryant & Brannock will implement recommended transactions upon obtaining client approval.

### **Item 17 – Voting *Client* Securities**

As a matter of firm policy and practice, Bryant & Brannock does not have any authority to and does not vote proxies on behalf of advisory clients. Clients retain the responsibility for receiving and voting proxies for any and all securities maintained in client portfolios.

### **Item 18 – Financial Information**

Registered investment advisers are required in this Item to provide you with certain financial information or disclosures about Bryant & Brannock’s financial condition. Bryant & Brannock has no financial commitment that impairs its ability to meet contractual and fiduciary commitments to clients, and has not been the subject of a bankruptcy proceeding.

## **Item 19 – Requirements for State-Registered Advisers**

### **A. Education and Business Background**

**William H. Bryant, Jr. is the Managing Partner of Bryant & Brannock.**

#### **Born:**

1970

#### **Education:**

University of North Carolina at Pembroke, (Pembroke, NC) Master of Business Administration, 2025

Virginia Commonwealth University (Richmond, VA), Bachelor of Arts in English, 1993

Virginia Tech (Blacksburg, VA), attended from 09/1988 to 12/1989

#### **Recent Employment History:**

Bryant & Brannock, LLC, Sole Member, 08/2008 to 5/2016. Managing Partner 05/2016 to present

H. Beck, Inc., Registered Representative, 08/2008 to 12/31/2016

Durham's Partnership for Children, Chair, 6/2011 to 11/2013; Vice Chair, Member of Finance, Executive and Investment Committees, 06/2008 to 06/2011; Treasurer and Chair of Finance Committee 6/2006 to 6/2008 Chair of Community Awareness and Development Committee, 06/2005 to 06/2006

Scott & Stringfellow, Inc., Financial Advisor, 11/2000 to 08/2008

Central Carolina Bank & Trust Co., Assistant Vice President- Mortgage Banker, 05/1998 to 11/2000.

#### **Professional Designations:**

Certified Investment Management Analyst (CIMA), granted by-Investments and Wealth Institute, 2007 Certified Financial Planner (CFP), granted by the Certified Financial Planner Board of Standards Inc., 2004 Chartered Retirement Plans Specialist (CRPS), granted by College for Financial Planning, 2001

**Michael A Brannock is a Partner of Bryant & Brannock.**

**Born:** 1960

**Education:**

University of North Carolina, Chapel Hill, North Carolina, Bachelor of Arts, 1982

**Business Background:**

Bryant & Brannock, LLC, Investment Adviser Representative, 07/2010 to 05/2016. Partner 05/2016 to present.

H. Beck Inc., Registered Representative, 07/2010 to 12/31/2016

Financial Directions, 03/1999 to 07/2010

First Allied Securities, Inc. 12/2008 to 07/2010

Intersecurities, Inc. 05/1999 to 12/2008

Prudential Securities, Inc. 09/1997 to 03/1999

**B. Other Business Activities**

See item 10

**C. Performance Based Fees**

See Item 6

**D. Financial and Disciplinary Disclosures**

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of Bryant & Brannock, William H. Bryant, Jr or Michael A. Brannock. Neither Bryant & Brannock, William H. Bryant, Jr. nor Michael A Brannock have any information applicable to this Item.

See Item 18 for Financial Disclosures

### **E. Relationships with Issuers of Securities**

Neither Bryant & Brannock, nor its management persons, has any relationship or arrangement with issuers of securities.