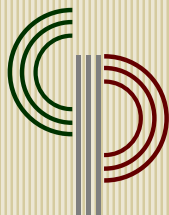


## FORM ADV: PART 2B

### BROCHURE SUPPLEMENT



# Case Pearlman Retirement Plan Advisors, LLC

12140 Carissa Commerce Court  
Suite 104  
Fort Myers, Florida 33966

Tel: 239.482.8002  
Fax: 239.482.8243

### SUPERVISION

**Dennis M. Pearlman**  
Chief Compliance Officer

Phone: 239.482.8002  
e-Mail: [dennis@casepearlman.com](mailto:dennis@casepearlman.com)

Mr. Pearlman oversees the supervision of all supervised persons and manages our compliance-related issues.

Duties include reviewing investment activities to ensure all supervised persons are acting in our clients' best interests in discharging their duties. Any activities that appear to be out of the ordinary are checked.

BROCHURE SUPPLEMENT  
DATED

1

**JANUARY  
2019**

This Brochure Supplement provides information about Dennis M. Pearlman that is an accompaniment to the Disclosure Brochure for our firm, Case Pearlman Retirement Plan Advisors, LLC. You should have received both of these together as a complete disclosure packet. If you did not receive our Disclosure Brochure, or if you should have questions about this Brochure Supplement for Mr. Pearlman, you are welcome to contact us. Our contact information is listed to the left.

Additional information about Case Pearlman Retirement Plan Advisors, LLC and Dennis M. Pearlman are also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Dennis M. Pearlman, AIF®

CRD#: 4665022

Year of Birth: 1960

### EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

#### Education

- 1983 - University of South Florida: Bachelor of Arts in Finance
- 1983 - University of South Florida: Bachelor of Arts in Accounting

#### Licenses

- FINRA Exams: Series 6 - Investment Company and Variable Contracts Products Rep. (Retired)
- Series 65 - Uniform Investment Advisor Law Examination (Active)

Insurance: 2-15 License - Florida Life, Health & Annuity Insurance (Active)

Designations: **Accredited Investment Fiduciary® (AIF®)** - The AIF® designation requires one to successfully complete course work and exams and abide by a code of ethics. In addition, to maintain the AIF® designation, one is required to meet rigid standards and complete six (6) hours of continuing education every year.

#### Business Background

- 04/2011 - Present .....Case Pearlman Retirement Plan Advisors, LLC  
Position: Managing Member/President & Chief Compliance Officer
- 02/2003 - 03/2016 .....Case Pearlman Corporate Benefits, Inc.  
Position: President & Chief Compliance Officer
- 10/2008 - 12/2011 .....Triad Advisors, Inc.  
Position: Registered Representative
- 05/2004 - 06/2008 .....Jefferson Pilot Securities  
Position: Registered Representative
- 05/2003 - 05/2004 .....Park Avenue Securities  
Position: Registered Representative
- 04/2003 - 05/2004 .....Guardian Life Insurance Company of America  
Position: Registered Representative
- 03/1993 - 01/2003 .....State Attorney's Office 20<sup>th</sup> Circuit  
Position: Executive Director

### DISCIPLINARY INFORMATION

Mr. Pearlman has not been found to be the cause of, or been found to be involved in, any civil litigation, self-regulatory organization/administrative proceeding involving investment-related business activities at any time during the past ten years; or, personally ever been the subject of a criminal action.

### OTHER BUSINESS ACTIVITIES

#### Licensed Insurance Agent

Mr. Pearlman is a licensed independent insurance agent. He will receive the normal commissions associated with insurance sales. This creates an incentive for him to recommend, should you inquire, those products in which he will receive a commission. Consequently, the objectivity of the advice rendered could be subjective and create a disadvantage.

You are under no obligation to accept Mr. Pearlman's recommendation to purchase any insurance products. You are free to choose any independent insurance agent and insurance company to purchase your insurance. Regardless of the insurance agent from whom you select to purchase your insurance, he/she will earn the normal commission from the sale.

For more information about the potential conflicts of interest, see our Disclosure Brochure in Item 10, "Other Financial Industry Activities & Affiliations". Notwithstanding such potential conflicts of interest, we strive to act in your best interest and ensure disclosure is properly made to you in compliance with the Investment Adviser Act of 1940, Rule 275.206.

### ADDITIONAL COMPENSATION

Mr. Pearlman has not been the subject of any arbitration claim, civil litigation, self-regulatory organization/administrative proceeding, or bankruptcy petition at any time during the past ten years.

