

ra riccio &
associates LLC
REGISTERED INVESTMENT ADVISORS

INVESTMENT ADVISER

CRD# 304972
525 Racquet Club Rd., Apt. 47
Weston, FL 33326

**Brochure Supplement for Giampiero Riccio
CRD#4534528**

This brochure supplement provides information about Giampiero Riccio that supplements the Riccio & Associates, LLC brochure- You should have received a copy of that brochure. Please contact Giampiero Riccio at (954) 881-3398 or write to contactus@riccioandassociates.com if you did not receive Riccio & Associates brochure or if you have any questions about the contents of this supplement.

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.

Additional information about **Riccio & Associates, LLC** is also available on the SEC's website at www.adviserinfo.sec.gov.

December 2021

Giampiero Riccio

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Born in 1950, Giampiero Riccio is the founder of Riccio & Associates LLC.

Mr. Riccio has worked with top financial institutions in the U.S. and Latin America (Colombia, Panama and Venezuela) for more than 20 years. Giampiero has extensive knowledge on commercial banking, investments products, private wealth and portfolio management.

Giampiero is a Civil Engineer (UCAB – Class of 74') with a Master of Business Administration (MBA) from the Instituto de Estudios Superiores de Administración (IESA – Class of 85') and post-graduate studies from the Politecnico di Milano. He holds the Chartered Financial Analyst designation (CFA), and is a former President of the Asociación Venezolana de Administradores de Fondos (AVAF). Giampiero is fluent in Spanish, Italian and English.

PROFESSIONAL EXPERIENCE:

Mr. Riccio is an experienced General Manager and Director of Financial Services firms with over 20 years of work in upper management positions. He has worked most of his career as builder and leader of Investment Research and Portfolio Management units for MERCANTIL SERVICIOS FINANCIEROS, an important financial institution based in Venezuela and lead the launch of successful investments funds and products in that market. Previously, as a civil engineer and university teacher of structures at UNIVERSIDAD SIMON BOLIVAR in Caracas, worked for 16 years in project management and structural design of many important buildings.

LICENSES:

Inactive: Series 7, 24

Mr. Riccio is a Chartered Financial Analyst (CFA).

The Chartered Financial Analyst (CFA) designation is widely regarded to be the key certification for investment professionals, especially in the areas of research and portfolio management.

The CFA designation is given to investment professionals who have successfully completed the requirements set by the globally recognized CFA Institute (formerly the Association for Investment Management and Research, or AIMR). To be eligible for the CFA designation, candidates must meet the following criteria:

1. Pass three rigorous, six-hour exams over several years.
2. Have 48 months of "acceptable professional work experience."
3. Join the CFA institute by committing to the CFA Institute's Code of Ethics and Standards of Professional Conduct.

For more information on the CFA Certification and the CFA Institute, please visit www.cfainstitute.org

ITEM 3 - DISCIPLINARY INFORMATION

Neither Riccio & Associates, LLC nor any employee of the Firm has been subject to any disciplinary actions by the Securities Exchange Commission (SEC) or any other regulatory authority.

You may access Mr. Giampiero Riccio's regulatory file by following this link to the SEC Investment Adviser Public Disclosure (IAPD) Database: [http://www.adviserinfo.sec.gov/\(S\(v0s1j0nivr4bef45caxf1155\)\)/IAPD/Content/Search/iapd_Search.aspx](http://www.adviserinfo.sec.gov/(S(v0s1j0nivr4bef45caxf1155))/IAPD/Content/Search/iapd_Search.aspx)

ITEM 4 – ADDITIONAL COMPENSATION

Mr. Riccio does not receive any additional compensation for providing investment advice, other than the fees paid directly by the clients.

ITEM 5 - SUPERVISION

Riccio & Associates LLC has adopted a Code of Ethics that sets forth the basic policies of ethical conduct for all managers, officers, and employees of the adviser. In addition, the Code of Ethics governs personal trading by each employee of Riccio & Associates LLC deemed to be an Access Person and is intended to ensure that securities transactions effected by Access Persons of Riccio & Associates LLC are conducted in a manner that avoids any actual or potential conflict of interest between such persons and clients of the adviser or its affiliates. Riccio & Associates LLC collects and maintains records of securities holdings and securities transactions effected by Access Persons. These records are reviewed to identify and resolve potential conflicts of interest. Riccio & Associates LLC maintains a code of ethics and they will provide a copy to any client or prospective client upon request.

Riccio & Associates LLC and/or its investment advisory representatives may from time to time purchase or sell products that they may recommend to clients.

The Firm prohibits itself and its associated persons from benefiting from the short-term market effects of transactions for clients. The Firm gives preference to clients trading over itself. Giampiero Riccio, as the firm's Chief Compliance Officer, reviews all transactions executed by the Firm on a daily basis, and conducts an additional review of all securities transactions by

officers and employees quarterly. Clients may contact Mr. Riccio with any questions or concerns regarding their accounts or particular transactions, at (954) 881-3398 or email at giampiero@riccioandassociates.com

ITEM 6 - REQUIREMENTS FOR STATE-REGISTERED ADVISERS

To the best of our knowledge, Mr. Giampiero Riccio has not been involved in any of the following events:

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.

3. If the supervised person has been the subject of a bankruptcy petition, disclose that fact, the date the petition was first brought, and the current status.