



Thomas C. Cock

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March 2024

**FORM ADV PART 2B
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Thomas C. Cock that supplements the Apella Capital, LLC, DBA Apella Wealth (“Apella”) brochure. You should have received a copy of that brochure. Please contact Timothy Richards at 860-781-6550 if you did not receive the brochure or if you have any questions about the contents of this supplement.

Additional information about Thomas C. Cock is available on the SEC’s website at www.adviserinfo.sec.gov. His individual CRD number is 4345448.

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Educational Background and Business Experience

Form ADV Part 2B, Item 2

Thomas C. Cock

Year of Birth: 1958

Formal Education after High School:

- Whitman College, B.A. History, 1980
- The Evergreen State College, Public Administration, Masters Coursework, 1988

Business Background for the Previous Five Years:

- Mr. Cock is registered as a Financial Adviser Representative with Apella.
- Mr. Cock started with Apella in 2021 as a Regional Director. Prior to joining Apella, Mr. Cock worked at the following financial institutions:
 - Principal and Managing Member, Vestory, LLC
 - Financial Adviser Representative, Vestory, LLC

Disciplinary Information

Form ADV Part 2B, Item 3

Apella is required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

Thomas C. Cock

No information is applicable to this item for Mr. Cock.

- A. Mr. Cock has never been subject to a criminal or civil action in a domestic, foreign or military court of competent jurisdiction in which the supervised person
1. was convicted of, or pled guilty or nolo contendere (“no contest”) to (a) any felony; (b) a misdemeanor that involved investments or an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses;
 2. is the named subject of a pending criminal proceeding that involves an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;
 3. was found to have been involved in a violation of an investment-related statute or regulation; or
 4. was the subject of any order, judgment, or decree permanently or temporarily enjoining, or otherwise limiting, the supervised person from engaging in any investment-related activity, or from violating any investment-related statute, rule, or order.
- B. Mr. Cock has never been subject to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority in which the supervised person
1. was found to have caused an investment-related business to lose its authorization to do business; or
 2. was found to have been involved in a violation of an investment-related statute or regulation and was the subject of an order by the agency or authority
 - a) denying, suspending, or revoking the authorization of the supervised person to act in an investment-related business;
 - b) barring or suspending the supervised person's association with an investment-related business;
 - c) otherwise significantly limiting the supervised person's investment-related activities; or
 - d) imposing a civil money penalty of more than \$2,500 on the supervised person.
- C. Mr. Cock has never been subject to a self-regulatory organization (SRO) proceeding in which the supervised person
1. was found to have caused an investment-related business to lose its authorization to do business; or
 2. was found to have been involved in a violation of the SRO's rules and was: (i) barred or suspended from membership or from association with other members, or was expelled from membership; (ii) otherwise significantly limited from investment-related activities; or (iii) fined more than \$2,500.

Form ADV Part 2B, Item 3

- D. Mr. Cock has never been subject to any other proceeding in which a professional attainment, designation, or license of the supervised person was revoked or suspended because of a violation of rules relating to professional conduct.

Other Business Activities

Thomas C. Cock

Form ADV Part 2B, Item 4

- Mr. Cock is fifty percent (50%) owner in a food truck catering business, Pompeii Wood Fired Pizza, LLC. Mr. Cock spends less than ten percent (10%) of his time addressing business needs for the LLC. He does not conduct business during trading hours.

Additional Compensation

Form ADV Part 2B, Item 5

Mr. Cock receives other compensation or economic benefit from others in exchange for providing investment advice podcasts and educational seminars. Mr. Cock receives economic benefit as an owner of Pompeii Wood Fired Pizza, LLC; a non- investment related entity.

Supervision

Form ADV Part 2B, Item 6

Mr. Cock is supervised by James J. Scanlan, President at Apella. Mr. Scanlan can be reached at 410-829-0047.