

*This brochure supplement provides information about Al DiNicola that supplements the NAMCOA® - Naples Asset Management Company®, LLC ("NAMCOA") brochure. You should have received a copy of that brochure. Please contact Paul McIntyre if you did not receive NAMCOA's brochure or if you have any questions about the contents of this supplement.*

*Additional information about Al DiNicola is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*



**NAMCOA**<sup>®</sup>  
Registered Investment Advisor

Naples Asset Management Company<sup>®</sup>, LLC

Form ADV Part 2B – Individual Disclosure Brochure

*for*

**Al DiNicola, AIF<sup>®</sup>, CEPA<sup>™</sup>**

Personal CRD Number: 1305518  
*Investment Adviser Representative*

NAMCOA<sup>®</sup> - Naples Asset Management Company<sup>®</sup>, LLC  
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UPDATED: 02/3/2023

## Item 2: Educational Background and Business Experience

**Name:** Al DiNicola                      **Born:** 1949

### **Educational Background and Professional Designations:**

#### **Education:**

- CEPA™ (Certified Exit Planning Advisor) 2023
- AIF® (Accredited Investment Fiduciary®) Center for Fiduciary Studies™, 2021
- MED Education, College of New Jersey - 1975
- Bachelors Science and Health, College of New Jersey - 1971
- National Association of Home Builders- Institute of Residential Marketing (MIRM) 1995

#### **Business Background:**

06/2006 - Present	NAMCOA® - Naples Asset Management Company®, LLC Investment Advisor Representative
01/2017 to 12/2017	Vice President of Real Estate Sales Babcock Ranch, Inc.
01/2012 - 11/2016	Vice President of Real Estate Sales Miromar Lakes Beach & Golf Club < Inc.
2006-Present	DST 1031 Consultant, Registered Representative MSC-BD, LLC
2008-2014	Commercial Real Estate Consultant Pinnacle Performance Investments, LLC
2005- 2010	Real Estate Workout Specialist Crown Capital Investment Properties, LLC
2005-Present	Commercial Real Estate Consultant Pelican I Real Estate & Development Inc.
2003-2014	Commercial Real Estate Consultant St. James Development, LLC

1995-2005	Real Estate Broker & Director of Sales Bonita Bay Group, Inc.
1990- 1995	Vice President Real Estate Sales Westinghouse Communities Inc.
1980- 1990	Project Manager The Byrne Corporation, Inc.

## Examinations and Licenses

- FINRA Series 22 Direct Participation Limited Representative 2006
- FINRA Series 79 Investment Banking 2018
- NASSA Series 65 (Investment Adviser Law) 2015
- SIE - Securities Industry Essentials Examination 2014
- NASAA Series 66 Uniform Combined State Law 2006
- Florida Real Estate Broker, 1981
- National Association of Realtors- Certified Residential Broker (CRB) 1998

## Associations

- National Association of Realtors (NAR) 1995-Present
- National Association of Rhome Builders (NAHB) 1990- 2014
- Florida Association of Realtors (FR) 1995-Present
- Florida Association of Realtors- Chairman Professional Standards Committee 2004
- Florida Association of Home Builders 1990-2014
- Naples Chamber of Commerce 2012-2014
- Lee Building Industry Association 1995-2014
- Collier Building Association 1995-2014
- Past Member Florida Bankers Association 2011-2012

## Professional Designations:

### CEPA™

In 2023, Al DiNicola was awarded the **Certified Exit Planning Advisor (CEPA™)** designation from the **Exit Planning Institute** (the Institute), the standards-setting body for CEPA™ advisors. Website The **Exit Planning Institute** was established in 2004 and is based in Westlake Ohio. The Institute administers the CEPA training and accreditation program. Website: [www.exit-planning-institute.org](http://www.exit-planning-institute.org).

## **CEPA™ - Certified Exit Planning Advisor Credentialing Program**

The CEPA™ training program is an Executive MBA-style program that trains and certifies qualified professional advisors in the field of business succession exit planning. The program is governed by a Code of Ethics that CEPA designees abide too.

Developed and taught by a diverse team of over 15 nationally-recognized experts, the CEPA™ program offers students an innovative learning experience, performance-enhancing resources, and the strategic insights and tools to help the professional advance their practice, to work with business owners and other key advisors.

To qualify for the CEPA™ program, an Advisor must have a minimum of at least five years relative business experience, followed by the completion of additional pre-work, classroom attendance, other course work and exam. Participants who complete the CEPA™ program and pass a closed book proctored exam, receive the Certified Exit Planning Advisor (CEPA™) credential. The CEPA™ program itself qualifies for continuing education credits with multiple major professional associations.

The **Certified Exit Planning Advisor (CEPA™) credential** was designed for professional advisors to be more effective when serving business owners. Through the process of Exit Planning (the Value Acceleration Methodology), business owners can build more valuable companies, have stronger personal financial plans, and align their personal goals.

Earning the CEPA™ is intended to enhance the ability of a financial advisor to engage a business owner and have value-added conversations around growth and an exit from their business.

The CEPA™ program has a robust continuing education requirement, calling for forty hours of learning every three years.

### **AIF®**

In 2021, Al DiNicola was awarded the Accredited Investment Fiduciary® (AIF®) designation from the Center for Fiduciary Studies™ (the Center), the standards-setting body for fi360.

The AIF designation signifies specialized knowledge of fiduciary responsibility and the ability to implement policies and procedures that meet a defined standard of care. The designation is the culmination of a rigorous training program, which includes a comprehensive, closed-book final examination under the supervision of a proctor, and agreement to abide by the Code of Ethics and Conduct Standards. On an ongoing basis, completion of continuing education and adherence to the Code of Ethics and Conduct Standards are required to maintain the AIF and PPC designations.

Based near Pittsburgh, Pa., fi360 is the first full-time training and research facility for fiduciaries and conducts training programs throughout the United States and abroad. The Center for Fiduciary Studies confers the AIF designation as well as the Professional Plan Consultant™ (PPC™) designations.

### **About fi360**

fi360 helps its investment advisory clients gather, grow, and protect client assets through better investment and decision-making. Since 1999, fi360 has been providing innovative solutions to financial services providers, including its AIF® training program, the fi360 Toolkit™ software, and fi360 Fiduciary Score®. Their vision is to be the leading provider of services that raise the level of professionalism in investment management.

### **The Center for Fiduciary Studies**

The Center for Fiduciary Studies is the standards-setting body for Fi360 and is supported by a team of experienced investment practitioners, attorneys, educators, and other professionals. The Center for Fiduciary Studies develops and maintains the Prudent Practices™ defined in our handbooks and awards the Accredited Investment Fiduciary® (AIF®) professional designation. In addition, the Center is responsible for overseeing the body of knowledge that forms the basis for its curriculum, examinations, and certifying qualifications.

## **Item 3: 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.

## **Item 4: Other Business Activities**

Al DiNicola is a real estate broker or dealer. From time to time, he will offer clients advice or products from this activity. Clients should be aware that these services pay a commission and involve a possible conflict of interest, as commissionable products can conflict with the fiduciary duties of a registered investment adviser. NAMCOA always acts in the best interest of the client; including in the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any representative of NAMCOA® - Naples Asset Management Company®, LLC in their capacity as a real estate dealer or broker.

## **Item 5: Additional Compensation**

Al DiNicola does not receive any economic benefit from any person, company, or organization, other than NAMCOA® - Naples Asset Management Company®, LLC in exchange for providing clients advisory services through NAMCOA® - Naples Asset Management Company®, LLC.

## **Item 6: Supervision**

As a representative of NAMCOA® - Naples Asset Management Company®, LLC, Al DiNicola is supervised by Paul McIntyre, the firm's Chief Compliance Officer. Paul McIntyre is responsible for ensuring that Al DiNicola adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Paul McIntyre is (239) 287-3789.

