



First Ascent Asset Management

CRD No. 281470

BROCHURE SUPPLEMENT

for

KATHERINE BROUGHTON

CRD No. 5610680

January 23, 2018

1512 Larimer St., Suite 1050

Denver, Colorado 80202

Tel: 720.465.7888

This brochure supplement provides information about Katherine Broughton that supplements the First Ascent Asset Management, LLC Firm Brochure. You should have received a copy of that brochure. Please contact Compliance, at compliance@firstascentam.com or 720.465.7888 if you did not receive the First Ascent Asset Management, LLC Firm Brochure or if you have any questions about the contents of the Firm Brochure or this supplement.

Additional information about Katherine Broughton is available on the SEC's website at www.adviserinfo.sec.gov. You may search for Ms. Broughton by using her personal CRD number, which is 6247706.

Registration or licensure with the SEC or with a state securities authority does not imply a certain level of skill or training.

Item 2: Educational Background and Business Experience

Katherine Broughton (date of birth: September 3, 1984) is a Director of Advisory Services at First Ascent Asset Management, LLC (“First Ascent” or the “Firm”) and joined the Firm in February 2017. Ms. Broughton has worked in the financial services industry for over 10 years. She began her career in 2006 at Guaranty Bank in Texas where she was responsible for internal communications and external marketing. In 2008, she spent time in NY and Austin with New York Life’s broker/dealer overseeing marketing support and product consulting for advisors. She then joined AFAM Capital in 2013, a mutual fund company, building their marketing and distribution strategy. Immediately prior to joining First Ascent, she was with Sagepoint Financial, an independent RIA in Austin sitting on its investment committee and servicing its high-net-worth clients.

Ms. Broughton received a BA from Texas A&M University in 2006 and earned her MBA in 2013 from St. Edwards University.

She previously held her Series 7 and 63 and currently holds a Series 65.

Item 3: Disciplinary Information

Ms. Broughton has not been the subject of any investment-related legal, administrative or disciplinary proceedings.

Item 4: Other Business Activities

Ms. Broughton does not have any other business activities.

Item 5: Additional Compensation

Ms. Broughton does not receive any additional compensation or bonuses based on the number or amount of sales, client referrals or new accounts.

Item 6: Supervision

Ms. Broughton is primarily responsible for internal sales and marketing to independent financial advisors and is supervised by Scott MacKillop, CEO. Ms. Broughton can be reached at katherine@firstascentam.com or 720.464.5234

Item 7: Requirements for State-Registered Advisers

- 7.A. Ms. Broughton has not been involved in an award or otherwise found liable in either an arbitration claim alleging damages in excess of \$2,500 or a civil, self-regulatory organization, or administrative proceeding involving: (a) an investment or 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; (e) dishonest, unfair or unethical practices.
- 7.B Ms. Broughton has never been the subject of a bankruptcy petition.