



Consolidated Part 2B Firm Disclosure Brochure Supplement October 2022

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This brochure provides information about the qualification and business practices of Mission Wealth Management, LP (MWM). If you have any questions about the contents of this brochure, please contact Brad Stark at (805) 882-2360. 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 MWM is available on the Internet at www.adviserinfo.sec.gov. Mission Wealth Management, LP, is a Registered Investment Advisor, registered with the United States Securities and Exchange Commission (SEC) under the Investment Advisers Act of 1940. This designation does not imply a certain level of skill or training.



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Matthew William Adams, Managing Partner, Chief Executive Officer

Year of Birth: 1975

Formal Education:

University of Southern California (2003), Master of Business Administration, Finance
University of California, Santa Barbara (1997), Bachelor of Arts, Business Economics

Business Background:

Mission Wealth Management, LP (2003 – present)
National Planning Corporation, Registered Representative (2005 – 2013)
Roxbury Capital Management, Trader (2000 – 2003)
Dimensional Fund Advisors, Operations Coordinator (1999 – 2000)



Claudia Arnold-Sawaf, Partner, Client Advisor

Year of Birth: 1970

Formal Education:

Vienna Business School, Austria (1989) Accounting, Economics, and Business Administration

Professional Designations:

ACCREDITED INVESTMENT FIDUCIARY® (2013)

Business Background:

Mission Wealth Management, LP (2019 – present)
Dynamic Wealth Advisors, Investment Advisor (2014 – 2019)
Trilogy Financial Services, Inc., President of Client Services and Director of Field Development (2007 – 2013)
Lincoln Financial Advisors, Senior Wealth Advisor (2006 – 2007)
National Planning Corporation, Registered Representative (2001 – 2005)



Shinaola Ato, Client Advisor

Year of Birth: 1995

Formal Education:

Columbia University (2022), Master of Wealth Management
University of Notre Dame (2017), Bachelor of International Economics, Applied and Computational Mathematics and Statistics, and Chinese
Montclair State University (2017 – 2017)

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2022)
Series 65 (2022)

Business Background:

Mission Wealth Management, LP (2022 – present)
Walmart (2019 – 2022)
IBM (2018 – 2019)



Jeff D. Avila, Partner, Client Advisor

Year of Birth: 1967

Formal Education:

College for Financial Planning in Colorado (2007)

Professional Designations:

Certified Divorce Financial Analyst (2017)

CERTIFIED FINANCIAL PLANNER™ practitioner (2007)

Business Background:

Mission Wealth Management, LP (2018 – present)

Omega Financial Group, Senior Wealth Advisor (2016 – 2018)

Fidelity Investments, VP - Senior Financial Consultant (2010 – 2016)

TD Ameritrade / Amerivest, Investment Consultant (2009 – 2010)

Fisher Investments, Vice President (2007 – 2009)

Strategic Advisers, VP – Senior Financial Consultant (2005 – 2007)

Primevest Financial Services, Investment Consultant (2004 – 2005)

WM Financial Services, Investment Consultant (2003 – 2004)

Citicorp Investment Services, Licensed Banker (2003)

Cal Fed Investments, Licensed Banker (2002 – 2003)

Bancwest Investment Services, Investment Consultant (2001 – 2002)



Stephanie Gay Bruno, Partner, Client Advisor

Year of Birth: 1967

Formal Education:

The Ohio State University (2003), Bachelor of Arts, English

University of New Orleans (1989), Bachelor of Science, Finance

Professional Designations:

Certified Private Wealth Advisor® (2009)

Accredited Investment Fiduciary® (2001)

Retirement Manager Advisor® (2017)

CERTIFIED FINANCIAL PLANNER™ practitioner (1997)

Series 63 – Uniform Securities Agent State Law Examination (2003)

Series 7 – General Securities Representative Examination (2007)

Series 6 - Investment Company Products/Variable Contracts Rep. Examination (2003)

Business Background:

Mission Wealth Management, LP (2021 – present)

SBWA, LLC dba Sea to Peak Financial Advisors, Managing Member (2012 – 2121)

Cascade Financial Management, Private Wealth Advisor (2008 – 2021)

KC Investment Advisors, LLC, Advisor (2005 – 2008)

Nationwide Financial, Relationship Manager/ Trust Officer (1992 – 2005)



Steve S. Caltagirone, Partner, Client Advisor

Year of Birth: 1973

Formal Education:

Vanderbilt University (2002), Master of Business Administration, Finance

St. Mary's College (1995), Bachelor of Science, Finance

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2013)

Business Background:

Mission Wealth Management, LP (2013 – present)

Elmwood Wealth Management, Inc., Portfolio Mgr. & Wealth Advisor (2012 – 2013)

Osborne Partners Capital Management, LLC, Portfolio Counselor (2010 – 2012)

Bingham Osborn & Scarborough LLC, Portfolio Manager (2008 – 2009)



Sara Clark, Director of Client Relationships

Year of Birth: 1987

Formal Education:

University of Pennsylvania - The Wharton School (2005 – 2009), Bachelor of Science in Economics, Finance

Professional Designations:

Series 66 (2009)

Business Background:

Mission Wealth Management, LP (2022 – present)

Mariner Wealth Advisors (2021 – 2022)

AdvicePeriod (2020 – 2021)

Kayne Anderson Capital Advisors, L.P., Sr. VP (2019 – 2020)

Morgan Stanley, Private Wealth Advisor (2014 – 2019)



Ethan Cooper, Client Advisor

Year of Birth: 1992

Formal Education:

Wheaton College (2011 – 2015), Bachelor of Science, Business and Economics

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2019)

Series 65 (2017)

Business Background:

Mission Wealth Management, LP (2022 – present)

WealthPlan Advisors, Inc. (2015 – 2022)

Edward Jones (2015)



Patricia Fahnoe, Partner, Client Advisor

Year of Birth: 1971

Formal Education:

Anderson School at UC Los Angeles (2005), Master of Business Administration, Finance
College of Financial Planning, Denver, CO (2001), Master of Science, Financial Planning
Northwestern University, Evanston, IL (1993), Bachelor of Arts, Economics

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (1996)

Business Background:

Mission Wealth Management, LP (2011 – present)
Mercer Advisors, Strategic Advisor (1997 – 2011)



Will Foley, Client Advisor

Year of Birth: 1996

Formal Education:

Gonzaga University Graduate School of Business (2019 – 2020), Master of Finance
Boston University (2020), Financial Planning

Gonzaga University (2015 – 2019), Bachelor of Science, Business Finance and Marketing

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2022)

Business Background:

Mission Wealth Management, LP (2021– present)
Charles Schwab, Intern (2019)
Edward Jones, Intern (2018)



Geoffrey Sutherland Gags, Partner, Client Advisor

Year of Birth: 1971

Formal Education:

College of Financial Planning, Denver, CO (2005), Master of Science, Financial Planning
Cal State University, Northridge (1994), Bachelor of Science, Business Finance

Santa Barbara City College (1992)

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (1999)

Business Background:

Mission Wealth Management, LP (2000 – present)
Mutual Securities, Registered Representative (2013 – present)
National Planning Corporation, Registered Representative (2000 – 2013)
Mercer Global Advisors, Associate Consultant (1995 – 2000)



Ricardo D. Gonzalez, Partner, Client Advisor

Year of Birth: 1964

Formal Education:

University of Southern California, Los Angeles, CA (2001), Master of Business Administration

University of California, Berkeley, CA (1989), Bachelor of Arts, Economics

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2017)

Accredited Wealth Management AdvisorSM (2015)

Certified Investment Management Analyst (2010)

Business Background:

Mission Wealth Management, LP (2014 - present)

SEIA, Financial Advisor (2013)

The Glowacki Group, LLC, Investment Manager (2008 - 2013)



Mitchell Grushen, Client Advisor

Year of Birth: 1994

Formal Education:

University of Alabama (2013 – 2017), Bachelor of Science, Finance with a concentration in Personal Wealth Management and Insurance

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2019)

Business Background:

Mission Wealth Management, LP (2018 – present)

Pure Financial Advisors, Intern and Assistant (2017 – 2018)



Cole Haddock, Client Advisor Associate

Year of Birth: 1986

Formal Education:

Southeastern Louisiana University (2012)

Professional Designations:

Series 65 (2022)

Business Background:

Mission Wealth Management, LP (2022 – present)

Halbert Wealth Management (2021 – 2022)



Kayla Harrell, Client Advisor

Year of Birth: 1995

Formal Education:

University of Los Angeles (2018)

Professional Designations:



CERTIFIED FINANCIAL PLANNER™ practitioner (2022)

Business Background:

Mission Wealth Management, LP (2022 – present)

Provident Financial (2017 – 2018)

GRF LLP (2018 – 2021)

Mission Wealth Management, LP (2021 – present)



Mark Herman, Client Advisor

Year of Birth: 1980

Formal Education:

U.S. Military Academy @ West Point (2004), Bachelor of Science in Foreign Area Studies

Texas A&M (2012), Master of Business Administration

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2016)

Series 65 (2014)

Business Background:

Mission Wealth Management, LP (2021 – present)

Astoria Strategic Wealth (2018 – 2021)

Bell Wealth Management (2014 – 2018)

Dell Inc. (2013 – 2014)

Student (2011 – 2012)

U.S. Army (2004 – 2011)



Shane Anthony Holt, Client Advisor

Year of Birth: 1983

Formal Education:

University of California, Berkeley (2015), Personal Financial Planning Certificate

Sonoma State University (2006 - 2007), Bachelor of Arts, Economics

Santa Rosa Junior College (2002 – 2005), Associates, General Education

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2021)

Business Background:

Mission Wealth Management, LP (2018 – present)

Fisher Investments, Investment Counselor (2016 – 2017)

Brouwer & Janachowski, Financial Advisor Associate (2008 – 2015)



Kristina Gwendolyn Kearney, Client Advisor

Year of Birth: 1986

Formal Education:

Colorado State University (2009), Master of Accounting

Colorado State University (2008), Bachelor of Science, Finance and Accounting



Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2022)

Certified Public Accountant (2011)

Series 65 (2019)

Business Background:

Mission Wealth Management, LP (2021 – present)

Sea to Peak Financial Advisors, Investment Advisor Representative (2020 – 2021)

Priority Financial Advisors, Director of Client Services (2018 – 2020)



Joey Khoury, Client Advisor

Year of Birth: 1996

Formal Education:

Cornell University (2018), Bachelor of Science, Economics

Professional Designations:

Chartered Retirement Plans SpecialistSM (2022)

Accredited Wealth Management AdvisorSM (2022)

Accredited Behavioral Finance ProfessionalSM (2021)

CERTIFIED FINANCIAL PLANNER™ practitioner (2019)

Business Background:

Mission Wealth Management, LP (2020 – present)

Beacon Pointe, Associate Wealth Advisor (2019 – 2020)

Canterbury Consulting, Private Wealth Investment Analyst (2018 – 2019)

Morgan Stanley, Financial Advisor Associate (2017 – 2018)

Kaplan Acquisitions Team, Team Lead (2014 – 2017)



Skyler Kane Kraemer, Client Advisor

Year of Birth: 1988

Formal Education:

College of Financial Planning (2016), Master of Science, Personal Finance

University of California, Santa Barbara (2012), Prof. Certificate, Personal Finance Planning

University of California, Santa Barbara (2010), Bachelor of Arts, Business Economics and

Environmental Studies

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2015)

Series 65 (2013)

Business Background:

Mission Wealth Management, LP (2019 – present)

Mercer Advisors, Client Advisor and Financial Associate (2013 – 2019)

Michael J. Berquist Financial and Estate Planning, Front Desk Coordinator (2012 – 2013)

Financial Network, Sales Representative (2012)

Wells Fargo, Teller (2011)



Walpole Financial, Administrative Assistant (2010)



Andrew Paul Kulha, Director of Estate Strategy

Year of Birth: 1988

Formal Education:

Chapman University's Fowler School of Law (2014), Juris Doctorate
University of Texas at Austin (2010), Bachelor of Arts, German and Government

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2020)
Series 65 (2018)

Business Background:

Mission Wealth Management, LP (2022 – present)
Mariner Wealth Advisors, Wealth Advisor (2019 – 2022)
Patriot Wealth Management, Principal (2018 – 2019)
McCulloch & Miller LLC, Attorney (2017 – 2018)
Weiner & McCulloch LLC, Attorney (2017)
Kulha Law LLC, Attorney (2016 – 2017)
Rabalais Law LLC, Attorney (2016 - 2016)
Rosemont Analytical, Inc., Contracts Administrator (2014 – 2016)



Phyllis G. Lancaster, Partner, Client Advisor

Year of Birth: 1966

Formal Education:

University of Arkansas (1984 – 1988), Bachelor of Arts, Journalism

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2012)
Securities Industry Essential Examination (2018)
Med Supp/Long Term Care (2008)
Life, Accident and Health or Sickness (2007)
Series 66 (2007)
Series 7 (2007)

Business Background:

Mission Wealth Management, LP (2022 – present)
Green Valley Wealth Management, Owner, Client Advisor (2011 – 2022)
Triad Financial Advisors, Financial Advisor (2007 – 2011)



Craig Richard Larsen, Managing Director

Year of Birth: 1965

Formal Education:

University of Illinois, Chicago (1985 – 1988), Bachelor of Science, Finance

Professional Designations:



CERTIFIED FINANCIAL PLANNER™ practitioner (2008)
Chartered Financial Consultant® (2008)
Series 65 (2004)

Business Background:

Mission Wealth Management, LP (2020 – present)
AHC Advisors, President (1995 – 2020)



Rory Macdonald, Client Advisor

Year of Birth: 1988

Formal Education:

University of California, Santa Barbara (2010 – 2011), Master of Arts, Economics
University of California, Santa Barbara (2006 – 2010), Bachelor of Arts, Business
Economics

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2015)
Accredited Portfolio Management Advisor (2014)
Accredited Wealth Management AdviserSM (2013)
Accredited Asset Management Specialist (2012)

Business Background:

Mission Wealth Management, LP (2012 – present)
Merrill Lynch, Summer Intern, (2009 – 2010)



Shane Meares, Client Advisor

Year of Birth: 1995

Formal Education:

California Polytechnic State University, San Luis Obispo, CA (2017), Bachelor of Science,
Finance

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2021)

Business Background:

Mission Wealth, LP (2020 – present)
Investment Architects, Inc. (2017 – 2020)



Bryant Gene Merryman, Client Advisor

Year of Birth: 1992

Formal Education:

University of Iowa, Bachelor of Business Administration in Finance (2014)

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2022)
Accredited Wealth Management AdviserSM (2020)

Business Background:



Mission Wealth, LP (2019 – present)
Lido Advisors, LLC, Relationship Manager / Financial Advisor (2019)
HighTower Advisors, LLC, Senior Private Wealth Associate (2018)
Merrill Lynch, Pierce, Fenner & Smith, INC, Registered Client Associate (2015 – 2018)



Jose Monreal, Client Advisor

Year of Birth: 1994

Formal Education:

University of California, Riverside (2019), Bachelor of Science in Finance
Santa Rosa Junior College (2017), Associate in Business

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2022)
Retirement Income Certified Professional® (2020)
Series 7 (2020)
Series 65 (2019)
Securities Industry Essential Examination (2018)
Series 63 (2017)
Series 6 (2017)

Business Background:

Mission Wealth Management, LP (2020 – present)
Prudential Financial (2017 – 2019)
Buffalo Wild Wings (2013 – 2017)
University of Wisconsin - Madison, BBA Student (2011 - 2016)



Jessica B. Mora, Client Advisor

Year of Birth: 1991

Formal Education:

University of California, Los Angeles (2017), Personal Financial Planning Certificate
University of California, Santa Barbara (2013), Bachelor of Arts, Psychology

Professional Designation:

CERTIFIED FINANCIAL PLANNER™ practitioner (2018)

Business Background:

Mission Wealth Management, LP (2017 – present)
Kaye Capital Management (2014 – 2017)



Lisa Murphy, Senior Client Advisor Associate

Year of Birth: 1987

Formal Education:

Columbia University (2021), Masters in Wealth Management
San Diego State University (2008), Bachelor of Communications

Professional Designations:



Series 7 (2016), Series 63 (2016), Series 65 (2019)

Business Background:

Mission Wealth Management, LP (2022 – present)

AlphaCore (2019 – 2021)

Bradley Wealth Management (2019)

Altegris (2013 – 2019)



Emil Nazaretyan, Portfolio Manager

Year of Birth: 1986

Formal Education:

University of California, Riverside (2004 – 2008), Bachelor of Science, Business Administration and Finance

Professional Designation:

CFA Level II Candidate

Business Background:

Mission Wealth Management, LP (2018 – present)

Mercer Advisors, Associate Trader I (2017 – 2018)

Conference Direct, Accounting Associate (2016 – 2017)

Green Logic Asset Management, Co-Founder (2012 – 2013)

Wells Fargo, Licensed Personal Banker (2011 – 2012)

Austen Morris Associates, Business Development Coordinator (2010)

Century 21, External Business Consultant (2010)

Independent Capital Management, Financial Services specialist (2008 – 2009)



Ryan Niedbalski, Partner, Client Advisor

Year of Birth: 1987

Formal Education:

Louisiana State University (2009), Bachelor of Science, Economics

Professional Designations:

Chartered Life Underwriter (2016)

CERTIFIED FINANCIAL PLANNER™ practitioner (2013)

Business Background:

Mission Wealth Management, LP (2017 – Present)

Bryson Financial Group, Assistant Advisor (2011 – 2017)

Proequities, Inc., Registered Representative (2010 – 2011)



Kieran David Osborne, Partner, Chief Investment Officer

Year of Birth: 1980

Formal Education:

University of Otago, New Zealand (2005), Master of Business in Finance

University of Otago, New Zealand (2003), Bachelor of Commerce in Finance



Professional Designations:

Chartered Financial Analyst® (2009)

Business Background:

Mission Wealth Management, LP (2013 – present)

Merk Investments, Director of Research (2008 – 2013)

Brook Asset Management Limited, Equity Analyst (2006 – 2008)

MCM Associates, Analyst & Trader (2005 – 2006)



Kara Ott, Client Advisor

Year of Birth: 1991

Formal Education:

DePaul University (2013)

Professional Designations:

Series 7 (2015)

Series 66 (2015)

Business Background:

Mission Wealth Management, LP (2021 – present)

Mariner Wealth Advisors (2019 – 2021)

Neuberger Berman (2016 – 2018)



Jesse Pantano, Client Advisor

Year of Birth: 1980

Formal Education:

James Madison University (2002), Bachelor of Business, Marketing

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2009)

Chartered Financial Analyst® (2014)

Series 7 (2022)

Series 63 (2022)

Business Background:

Mission Wealth Management, LP (2013 – present)

Clarfeld | Citizens Private Wealth (2020 – 2022)

Mercer Advisors (2018 – 2020)

BlackRock (2017 – 2018)

TD Ameritrade (2009 – 2017)

Ameriprise Financial Services (2003 – 2009)



Weston Paul Patton, Client Advisor

Year of Birth: 1991

Formal Education:

California Lutheran University (2020), Master of Science, Financial Planning



Chapman University (2014) Master of Business Administration, Finance
Chapman University (2013) Bachelor of Arts, Business Administration

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2019)

Business Background:

Mission Wealth Management, LP (2019 – present)

FMB Wealth Management (2018 – 2019)

Edward Jones Investments (2016 – 2018)

Triad Management Systems (2014 – 2016)



Andrew Lawrence Penso, Partner, Chief Business Development Officer

Year of Birth: 1982

Formal Education:

College of Financial Planning, Denver, CO (2012), Master of Science, Financial Planning
University of California, Santa Barbara (2004), Bachelor of Arts, Business Economics with
emphasis in Accounting

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2006)

Accredited Wealth Management AdvisorSM (2005)

Accredited Asset Management Specialist (2005)

Business Background:

Mission Wealth Management, LP (2005 – present)

National Planning Corporation, Registered Representative (2005 – 2013)



Jorie Lyn Pitt, Client Advisor

Year of Birth: 1981

Formal Education:

University of Illinois (1999 – 2003), Bachelor of Science, Communications
Kaplan University (2005 – 2008), Financial Planning

Professional Designations:

Certified Financial Transitionist® (2018)

Licensed Life & Health Insurance Agent (2016)

Series 65 License (2013)

CERTIFIED FINANCIAL PLANNER™ practitioner (2008)

Business Background:

Mission Wealth Management, LP (2020 – present)

AHC Advisors, Senior Wealth Advisor (2011 – 2020)

Borthwick Associates, Financial Planner (2005 – 2011)



Gregory John Prince, Client Advisor

Year of Birth: 1974

Formal Education:

Stanford University (1997), Bachelor of Arts, Economics

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2021)

Business Background:

Mission Wealth Management, LP (2021 – present)

Fisher Investments (2020 – 2021)

Unemployed (2018 – 2020)

Consilium Wealth Management (2018)

Prince Brothers Capital (2016 – 2018)

Weeden & Co. (2012 – 2016)



Jeremy Todd Ragar, Client Advisor

Year of Birth: 1995

Formal Education:

Creighton University (2019), Master of Science, Finance

Montana State University (2017), Bachelor of Science, Business Finance

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2022)

Chartered Financial Analyst® (2021)

Business Background:

Mission Wealth Management, LP (2019 – present)

Tremblay Financial Services, Sales Assistant (2018 – 2019)

Merrill Lynch, Wealth Management Intern (2016 – 2017)



Susan Amy Rizzi, Partner, Client Advisor

Year of Birth: 1962

Formal Education:

Towson University (1982 – 1986), Bachelor of Arts, Sociology and Mathematics

University of Virginia (1980 – 1982)

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2009)

Securities Industry Essential Examination (2018)

Series 66 (2008)

Series 7 (2004)

Life, Health, LTC (2004)

Business Background:

Mission Wealth Management, LP (2022 – present)

Green Valley Wealth Management, Owner and Client Advisor (2011 – 2022)



Triad Financial Advisors – Royal Alliance, Financial Planner (2005 – 2011)



Walter Rizo, Investment Associate

Year of Birth: 1991

Formal Education:

Loyola University New Orleans (2013), BBA in Finance & Economics

Professional Designations:

Series 7 (2015)

Series 66 (2015)

Business Background:

Mission Wealth Management, LP (2022 – present)

Merrill Lynch (2017 – 2022)

Charles Schwab (2015 – 2017)

Jefferson Financial (2013 – 2014)



Jenna Lauryn Rogers, Partner, Client Advisor

Year of Birth: 1987

Formal Education:

College for Financial Planning, Denver, CO (2014), Master of Science, Financial Planning

California State University, Channel Islands (2009), Bachelor of Arts, Business

Administration

Porterville College (2007), Associates, Business Administration

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2012)

Accredited Asset Management Specialist (2010)

Accredited Wealth Management Advisor (2009)

Business Background:

Mission Wealth Management, LP (2008 – present)

National Planning Corporation, Registered Representative (2011 – 2013)

First National Realty, Broker Price Opinion Specialist (2003 – 2009)



Julianna Rote, Client Advisor

Year of Birth: 1992

Formal Education:

University of California, Santa Barbara (2013), Bachelor of Arts, Economics and

Mathematics

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2017)

Accredited Asset Management Specialist (2015)

Accredited Wealth Management Advisor SM (2015)

Business Background:



Mission Wealth Management, LP (2014 – present)



Eric Matthew Smith, Client Advisor

Year of Birth: 1992

Formal Education:

University of Wisconsin, Madison (2016), Bachelor of Business Administration in Finance, Investments & Banking

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2019)

Business Background:

Mission Wealth Management, LP (2019 – present)

Fisher Investments, Portfolio Analytics and Reporting (2016 – 2019)

MHK Retirement Partners, Business Development Intern (2015)

INVEST Financial Corporation, Sales and Relationship Management Intern (2014)



Gregory John Smith, Compliance Associate

Year of Birth: 1954

Formal Education:

University of California, Santa Barbara (1979), Bachelor of Arts, Mathematics and Accounting

Professional Designations:

National Social Security Advisor Certificate Holder (2021)

Chartered Life Underwriter (2013)

Chartered Financial Consultant (2011)

Chartered Retirement Plan Specialist (2009)

CERTIFIED FINANCIAL PLANNER™ practitioner (1998)

Business Background:

Mission Wealth Management, LP (2003 – present)

National Planning Corporation, Financial Advisor (2002 – 2013)

Centaurus Financial, Financial Advisor (1999 – 2002)

SunAmerica Securities, Financial Advisor (1995 – 1999)

New York Life, Financial Advisor (1992 – 1995)

Pacific Capital Resources, Commercial Loan Broker (1989 – 1992)



Brian Gerald Sottak, Partner, Client Advisor

Year of Birth: 1984

Formal Education:

California Polytechnic State University, San Luis Obispo (2006), Bachelor of Science in Business Administration, Financial Management

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2017)



Chartered Financial Analyst® (2012)

Chartered Alternative Investment Analyst® (2012)

Business Background:

Mission Wealth Management, LP (2017 – present)

Balyasny Asset Management, Investment Management (2015 – 2016)

Mellon Capital, Investment Management (2013 – 2015)

Bank of New York Mellon, Investment Management (2008 – 2013)

FMV Opinions, Inc., Analyst (2007 – 2008)

A portion of his time is spent working from the Irvine, CA and San Diego, CA offices.



Brad Warren Stark, Founder, Partner, Client Advisor, Chief Strategy Officer

Year of Birth: 1970

Formal Education:

College of Financial Planning, Denver, CO (2002), Master of Science, Financial Planning

University of California, Santa Barbara (1992), Bachelor of Arts, Business Economics

Professional Designations:

Accredited Asset Management Specialist (2004)

Chartered Mutual Fund Counselor (1996)

CERTIFIED FINANCIAL PLANNER™ practitioner (1994)

Business Background:

Mission Wealth Management, LP (2000 – present)

National Planning Corporation, Registered Representative, Investment Adviser Representative (2000 – 2013)

California State University, Channel Islands, Adjunct Professor (2008 – 2012)

Signator Financial Network (formerly John Hancock Financial Services and John Hancock Distributors), Registered Representative (1992 – 2000)



Seth Mathew Streeter, Founder, Partner, Chief Impact Officer

Year of Birth: 1969

Formal Education:

College of Financial Planning, Denver, CO (2001), Master of Science, Financial Planning

University of California, Santa Barbara (1992), Bachelor of Arts, Sociology and Communication with honors

Professional Designations:

Certified Divorce Financial Analyst (2007)

CERTIFIED FINANCIAL PLANNER™ practitioner (1995)

Business Background:

Mission Wealth Management, LP (2000 – present)

National Planning Corporation, Registered Representative, Investment Adviser Representative (2000 - 2013)



Signator Financial Network (formerly John Hancock Financial Services and John Hancock Distributors), Registered Representative (1992 - 2000)



Dannell Rice Stuart, Partner, Client Advisor, Chief Client Officer

Year of Birth: 1974

Formal Education:

University of California, Santa Barbara (1996), Bachelor of Arts, Spanish and Communication

Professional Designations:

Chartered Financial Consultant® (2001)
CERTIFIED FINANCIAL PLANNER™ practitioner (1999)
Chartered Life Underwriter® (2002)
Chartered Advisor for Senior Living® (2004)

Business Background:

Mission Wealth Management, LP (2010 – present)
National Planning Corporation, Registered Representative, Investment Adviser Representative (2010 – 2013)
Ameriflex Benefits Corporation, Vice President (1996 – 2010)
Securities America, Inc., Registered Representative, Investment Adviser (2009 – 2010)
Brecek & Young Advisors, Inc., Registered Representative (1999 – 2009)
Aragon Securities, Registered Representative (1996 – 1999)



Kristen Taylor, Client Advisor

Year of Birth: 1983

Formal Education:

University of San Francisco (2009 – 2011), Master of Science, Financial Analysis
University of Texas at Austin (2001 – 2005), Bachelor of Arts, Biology

Professional Designations:

CERTIFIED FINANCIAL PLANNER™ practitioner (2019)

Business Background:

Mission Wealth Management, LP (2018 – present)
Montcalm TCR, Partner/Portfolio Manager (2012 – 2018)
Morgan Stanley, Senior Sales Associate (2006 – 2012)
JP Morgan, Client Service (2005 – 2006)



Amanda Thomas, Partner, Client Advisor

Year of Birth: 1960

Formal Education:

College for Financial Planning, Denver, CO (2015), Master of Science, Financial Planning
University of North Carolina, Chapel Hill, NC (1982), Bachelor of Arts, International Studies

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ practitioner (2012)
Accredited Wealth Management Advisor SM (2008)
Certified Divorce Financial Analyst (2008)

Business Background:

Mission Wealth Management, LP (2006 – present)
National Planning Corporation, Registered Representative (2006 – 2013)
Sombrilla Management, LP, Executive Property Manager (2005 – 2006)
Northern Trust Bank, Vice President - Banking (1994 – 2005)

**Pete Woodring, Client Advisor**

Year of Birth: 1968

Formal Education:

University of California, Berkeley (1991), Bachelor of Arts, Social Science

Professional Designations:

Accredited Wealth Management Advisor SM (2021)

Business Background:

Mission Wealth Management, LP (2016 – present)
Cypress Partners, Principal (2008 – 2019)

Qualifications of Professional Designations as Follows:

CFP® (CERTIFIED FINANCIAL PLANNER™): In-depth graduate level course usually taken over two years that covers the financial planning process (investments, income taxes, insurance, retirement planning, employee benefits, estate and financial plan development) that culminates in a national Certification Examination. Two-year industry work history and an undergraduate degree are required.

AAMS® (Accredited Asset Management Specialist): Designation program that focuses on the total financial picture (asset management process, risk/return elements, asset allocation, investment strategies, taxation, deferred compensation, key employee benefits, insurance, estate planning, regulatory and ethical standards). Candidate must successfully pass a final examination.

ABFPSM (Accredited Behavioral Finance Professional SM): Designation program that enhances advisors' emotional competencies, client interactions, and financial planning advice through a thorough understanding of psychological explanations for economic behavior and hands-on practice of knowledge. The ABFP is designed for financial professionals in advanced career stages, the ABFP program brings together comprehensive research and trends from leaders and experts in the area of behavioral finance with engaging, in-class activities that enable you to start using your new skills with existing clients from day one.



AIF® (ACCREDITED INVESTMENT FIDUCIARY): The AIF® designation represents a thorough knowledge of and ability to apply the fiduciary Practices. Through fi360's AIF Training programs, AIF designees learn the Practices and the legal and best practice framework they are built upon.

AWMA® (Accredited Wealth Management Advisor): Designation program that focuses on preserving, growing and transferring wealth (AAMS® topics plus income tax and estate planning for high-net-worth individuals). Candidate must successfully pass a final examination at the end of the program.

APMA® (Accredited Portfolio Management Advisor): Designation that focuses on client assessment and suitability, risk/return, investment objectives, bond and equity portfolios, modern portfolio theory and investor psychology. Students have hands-on practice in analyzing investment policy statements, building portfolios, and making asset allocation decisions including sell, hold, and buy decisions within a client's portfolio. Additionally, individuals must pass an end-of-course examination.

C DFA® (Certified Divorce Financial Analyst™): Certification program where candidates are required to complete a four-step program and exam designed by the IDFA. A two-year work history in the financial or legal industry is required.

ChFC® (Chartered Financial Consultant®): Designation awarded by the American College of Bryn Mawr. The designee must pass exams that cover a broad range of topics (finance, investing, insurance, taxes and estate planning). A three-year work experience in the financial industry is required.

CIMA (Certified Investment Management Analyst): The CIMA certification program covers five core topic areas and requires that candidates meet all eligibility requirements, including experience, education, examination, and ethics. Applicants must complete five steps in order to earn the certification and complete renewal requirements.

CFA® (Chartered Financial Analyst®): The CFA charter is a qualification for finance and investment professionals, particularly in the fields of investment management and financial analysis of stocks, bonds and their derivative assets. To become a charter holder a candidate must have four years of qualified work experience and pass three examinations, each typically held once per year.

CeFT® (Certified Financial Transitionist): A CeFT® is trained to help clients navigate through major life events and the financial transitions that accompany them. The CeFT is the industry's first designation specifically geared toward financial change and transition. The certification is offered by the Financial Transitionist Institute, which is the training and certification division of the Sudden Money Institute, culminating with an exam.

CPA (Certified Public Accountant): The CPA designation distinguishes licensed accounting professionals committed to protecting the public interest. These professionals offer financial statement audits and other attestation services to help inform investors about the financial health of organizations.



CRPS® (Chartered Retirement Plan Specialist): Designation program that focuses on retirement plans (types, characteristics, defined contribution, defined benefit, nonprofit, plan design, administration, establishment, operation, investment objectives, penalties, termination, fiduciary issues, prohibited transactions and regulatory issues) that culminates with an exam.

CSA (Certified Senior Advisor): A program that focuses on the needs of seniors (aging, family & community, health, mental health, financial literacy, Medicare, Medicaid and Social Security) culminating with an exam.

CMFC® (Chartered Mutual Fund Counselor): Designation program that focuses on a thorough knowledge of mutual funds (open, closed end, types, characteristics, risk/return, asset allocation, selection, retirement planning and ethics) that culminated with an exam.

CAIA® (Chartered Alternative Investment Analyst): This is the globally recognized credential for professionals managing, analyzing, distributing, or regulating alternative investments, which include private equity, hedge funds, commodities and real estate, among others. Those who have earned the designation successfully pass both the Level I & II exams; have more than one year of qualifying work experience (or four years of professional experience); maintain annual membership dues and abide by the membership agreement.

CLU® (Chartered Life Underwriter®): Those who have obtained this designation have studied the fundamentals of life and health insurance, pension planning, insurance law, income taxation, investments, financial and estate planning, and group benefits. Designees achieve a thorough understanding of a wide range of personal risk management and life insurance planning issues.

NSSA® (National Social Security Advisor Certificate®): This certificate promotes advanced Social Security education providing the knowledge to counsel clients on the best way to claim Social Security benefits to optimize lifetime Social Security income. The knowledge obtained through the NSSA® Certificate Program, in conjunction with adherence to the NSSA® standards of excellence, continuing education, and access to ongoing support, enables those who earn the Certificate to perpetually stay at the top of their game for Social Security Consulting. NSSA Certificate holders are ethical financial practitioners who always adhere to the highest levels of professional conduct.

RICP® (Registered Income Certified Professional): A retirement income certified professional (RICP) specializes in retirement income planning. The RICP is a designation given to professionals who have completed the RICP training program. RICPs help retirees and near-retirees to use the assets they have accumulated for retirement sustainably.

RMA® (Retirement Management Advisor): This program is an advanced certificate program that focuses on building custom retirement income plans to mitigate clients' risks and to master the retirement planning advisory process, all within an increasingly regulatory environment.



SIE® (Securities Industry Essentials® Exam): A FINRA exam for prospective securities industry professionals. This introductory-level exam assesses a candidate's knowledge of basic securities industry information including concepts fundamental to working in the industry, such as types of products and their risks; the structure of the securities industry markets, regulatory agencies, and their functions; and prohibited practices.

Part 2 b Item 3 – Disciplinary Information

There are no legal or disciplinary events that are material to your evaluation of our principals, management, or Client Advisors (CA).

Part 2 b Item 3 – Other Business Activities

The CAs of MWM may also be licensed insurance agents. Approximately 5% of the time of MWM or its CAs is spent in connection with these activities. Mr. Gaggs is individually registered with Mutual Securities, Inc., member FINRA/SIPC. He may offer securities and receive normal and customary commissions as a result of securities transactions. A conflict of interest may arise from these activities as commissionable sales may create an incentive to recommend products based on the compensation they may earn. MWM and its CAs will put the clients' best interest before those of their own.

Part 2 b Item 3 – Additional Compensation

We have nothing to disclose in this regard.

Part 2 b Item 3 – Supervision

Brad Stark, Chief Compliance Officer, supervises and monitors CAs' activities on a regular basis to ensure compliance with MWM's Code of Ethics. Mr. Stark is supported by several people who have testing responsibilities, including, but may not be limited to, Diane Williamson, Matt Adams, Kieran Osborne and Greg Smith. Mr. Stark is supervised by CEO, Matt Adams. Please contact Brad Stark if you have any questions about MWM's brochure supplement at (805) 882-2360.

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