



## Consolidated Part 2B Firm Disclosure Brochure Supplement

August 2024

### Corporate Headquarters

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missionwealth.com

This brochure provides information about the qualifications 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](http://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.



## Part 2b Item 2:

### Investment Advisory Representatives Educational Background & Business Experience

Matthew William Adams, Managing Partner, Chief Executive Officer .....	4
Peter Ahrens, Wealth Advisor .....	4
Claudia Arnold, Partner, Senior Wealth Advisor.....	5
Shinaola Aoro, Senior Wealth Advisor Associate .....	5
Jeff D. Avila, Partner, Managing Director, Senior Wealth Advisor.....	5
Brandon L. Baiamonte, Partner, Director of Tax Strategy .....	6
Daniele Beasley, Wealth Advisor .....	6
Brooke A. Bees, Senior Wealth Advisor .....	7
Marites Marcos Blair, Wealth Advisor Associate.....	7
Gary A. Brooks, Partner, Senior Wealth Advisor .....	8
Stephanie Gay Bruno, Partner, Senior Wealth Advisor .....	8
Steve S. Caltagirone, Partner, Managing Director, Senior Wealth Advisor .....	8
Dennis Michael Clark, Director of Tax Compliance.....	9
Sara Clark, Director of Client Relationships .....	9
Cole Clifford, Senior Investment Associate .....	9
George Andrew Conway, Jr., Wealth Advisor.....	10
Ethan Cooper, Senior Wealth Advisor .....	10
Jonathan DeMoss Cooper, Senior Wealth Advisor .....	10
Michael Dittamo, Wealth Advisor Associate .....	11
Evan Elig, Wealth Advisor Associate.....	11
Patricia Fahnoe, Partner, Senior Wealth Advisor .....	11
Herbert Roldan Flores, Wealth Advisor .....	11
Will Foley, Wealth Advisor .....	12
Daniel Yshai Friedman, Wealth Advisor Associate.....	12
Geoffrey Sutherland Gags, Partner, Senior Wealth Advisor .....	12
Herbert J. Gebhart, Senior Wealth Advisor Associate .....	13
Ishan Gondara, Investment Associate .....	13
Ricardo D. Gonzalez, Partner, Senior Wealth Advisor .....	14
Mitchell Grushen, Senior Wealth Advisor .....	14



Cole Haddock, Wealth Advisor .....	14
Carroll William Hayes, Jr., Partner and Senior Wealth Advisor .....	14
Mark Herman, Senior Wealth Advisor .....	15
Shane Anthony Holt, Wealth Advisor .....	15
Allyn Michael Hughes, Director of Risk Management .....	15
Kristina Gwendolyn Kearney, Wealth Advisor .....	16
Griffin Kent, Senior Wealth Advisor Associate .....	16
Joey Khoury, Senior Wealth Advisor.....	17
Skyler Kane Kraemer, Partner, Managing Director, Senior Wealth Advisor .....	17
Keaton William Krutenat, Wealth Advisor .....	17
Andrew Paul Kulha, Director of Estate Strategy .....	18
Phyllis G. Lancaster, Partner, Senior Wealth Advisor .....	18
Rory Macdonald, Partner, Senior Wealth Advisor.....	19
Shane Meares, Wealth Advisor .....	19
Bryant Gene Merryman, Partner, Senior Wealth Advisor .....	19
Braydan Meyers, Wealth Advisor Associate .....	19
Alison Rose Miller, Senior Wealth Advisor Associate .....	20
Ryan Thomas Miller, Wealth Advisor Associate .....	20
Jose Monreal, Senior Wealth Advisor.....	20
Jessica B. Mora, Partner, Senior Wealth Advisor.....	21
Lisa Murphy, Wealth Advisor .....	21
Emil Nazaretyan, Partner, Director of Investments.....	22
Ryan Niedbalski, Partner, Senior Wealth Advisor .....	22
Kieran David Osborne, Partner, Chief Investment Officer.....	22
Jesse Pantano, Senior Wealth Advisor .....	23
Mia Parnell, Wealth Advisor .....	23
Weston Paul Patton, Partner, Senior Wealth Advisor .....	23
Andrew L. Penso, Partner, Managing Director, Chief Business Development Officer.....	24
Jorie Lyn Pitt, Partner, Senior Wealth Advisor.....	24
Gregory John Prince, Senior Wealth Advisor.....	24
Jeremy Todd Ragar, Wealth Advisor .....	25



Susan Amy Rizzi, Partner, Senior Wealth Advisor ..... 25

Walter Rizo, Portfolio Manager ..... 25

Austin David Roberts, Wealth Advisor Associate ..... 26

Jenna Lauryn Rogers, Partner, Senior Wealth Advisor ..... 26

Julianna Rote, Partner, Senior Wealth Advisor ..... 26

Oliver Schulten, Wealth Advisor Associate ..... 27

Mathias Silberstein, Wealth Advisor Associate ..... 27

Eric Matthew Smith, Senior Wealth Advisor ..... 27

Gregory John Smith, Compliance Associate ..... 28

Brian Gerald Sottak, Partner, Managing Director, Senior Wealth Advisor ..... 28

Brad Warren Stark, Founder, Partner, Chief Strategy Officer ..... 28

Seth Mathew Streeter, Founder, Partner, Chief Impact Officer ..... 29

Dannell Rice Stuart, Partner, President ..... 29

Jared Andrew Sweeney, Senior Wealth Advisor ..... 30

Kristen Taylor, Partner, Senior Wealth Advisor ..... 30

Amanda Thomas, Partner, Director of Philanthropic Strategy ..... 30

Byron Valles, Senior Wealth Advisor Associate ..... 31

Mary Voll Miller, Partner, Senior Wealth Advisor ..... 31

Pete Woodring, Wealth Advisor ..... 31



**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)



**Peter Ahrens, Wealth Advisor**

**Year of Birth:** 1988

**Formal Education:**

Judson University (2018), Bachelor of Arts, Business Administration



McHenry County College (2014-2016)

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (2021)

**Business Background:**

Mission Wealth Management, LP (2023 – present)

Keystone Financial Services (2022– 2023)

JMG Financial Group (2018 – 2021)

Ralph Berger Financial Advisory (2017-2018)



**Claudia Arnold, Partner, Senior Wealth 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, Senior Wealth Advisor Associate**

**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™ (2022)

Series 65 (2022)

**Business Background:**

Mission Wealth Management, LP (2022 – present)

Walmart (2019 – 2022)

IBM (2018 – 2019)



**Jeff D. Avila, Partner, Managing Director, Senior Wealth Advisor**

**Year of Birth:** 1967

**Formal Education:**



College for Financial Planning in Colorado (2007)

**Professional Designations:**

CERTIFIED DIVORCE FINANCIAL ANALYST® (2017)

CERTIFIED FINANCIAL PLANNER™ (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)



**Brandon L. Baiamonte, Partner, Director of Tax Strategy**

**Year of Birth:** 1975

**Formal Education:**

University of Connecticut, Master of Science, Accounting (2011)

Boise State University, Bachelor of Business Administration, Accountancy (1998)

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (2024)

Chartered Financial Analyst® (2022)

Certified Fraud Examiner (2008)

Series 66 (2000)

Certified Public Accountant (2000)

**Business Background:**

Mission Wealth Management, LP (2021 – present)

Self-Employed, CFO (2020-2021)

Alta Bay Capital, LLC, CFO (2020)

Sabbatical/Unemployed (2018-2019)

Ball Ventures, LLC, Controller (2014-2018)

Internal Revenue Service, Internal Revenue Agent (2002-2014)



**Daniele Beasley, Wealth Advisor**

**Year of Birth:** 1969

**Formal Education:**

University of Georgia, The Graduate Certificate in Behavioral Planning and Financial Therapy (2024-Currently Enrolled)



Wharton Executive Education, Client Psychology (2021)  
Pepperdine Graziadio School of Business and Administration, Certificate in Financial Planning (2019)  
Pepperdine Graziadio School of Business and Administration, Master of Business Administration (2011)

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (2019)  
Series 65 (2018)

**Business Background:**

Mission Wealth Management, LP (2024 – present)  
Twenty Concierge Wealth Management, CEO (2022-2024)  
One Capital Management, LLC, IAR (2021)  
APEX Financial Advisors, Inc., IAR (2020-2021)  
Twenty Concierge Wealth Management, CEO (2018-2020)  
Cover Street Capital, LLC, President (2011-2017)



**Brooke A. Bees, Senior Wealth Advisor**

**Year of Birth:** 1975

**Formal Education:**

Pennsylvania State University, Bachelor of Science, International Business and Management (1998)

**Professional Designations:**

CTFA (2017)  
CERTIFIED FINANCIAL PLANNER™ (2012)  
Series 66 (2008)

**Business Background:**

Mission Wealth Management, LP (2023 – present)  
WSFS Bank, Advisor (2020-2023)  
Mercer Advisors, Advisor (2011-2020)



**Marites Marcos Blair, Wealth Advisor Associate**

**Year of Birth:** 1983

**Formal Education:**

California Polytechnic State University (2008), Bachelor of Business Administration, Accounting and Finance

**Professional Designations:**

Series 65 (2017)

**Business Background:**

Mission Wealth Management, LP (2023 – present)  
Walpole Financial Advisors, Wealth Advisor Associate (2012-2023)  
Heritage Oaks Bank, Regional Customer Service Assistant II (2010-2012)



**Gary A. Brooks, Partner, Senior Wealth Advisor**

**Year of Birth:** 1971

**Formal Education:**

University of Puget Sound, Bachelor of Science, Communication (1994)

**Professional Designations:**

CSRIC (2019)

CERTIFIED FINANCIAL PLANNER™ (2005)

**Business Background:**

Mission Wealth Management, LP (2023 – present)

BJH Wealth Advisors, President (2009-2023)



**Stephanie Gay Bruno, Partner, Senior Wealth 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™ (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, Managing Director, Senior Wealth 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™ (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)



**Dennis Michael Clark, Director of Tax Compliance**

**Year of Birth:** 1977

**Formal Education:**

Golden Gate University (2012), Master of Tax, International Tax  
California Polytechnic State University (2000), Bachelor of Business Administration  
California State University, Chico (1998)

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (2013)  
CPA (2003)

**Business Background:**

Mission Wealth Management, LP (2023 – present)  
Dennis M. Clark, CPA, Owner (2015 – 2023)  
Bartlett, Pringe & Wolf, Manager (2014-2015)



**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)



**Cole Clifford, Senior Investment Associate**

**Year of Birth:** 1994

**Formal Education:**

Appalachian State University (2019) Bachelor of Business Administration, Marketing

**Business Background:**

Mission Wealth Management, LP (2023 – present)  
Indeed (2019 – 2021)  
Capital Chevrolet (2019 – 2019)  
Chili's Bar and Grill (2014 – 2019)  
United States Army (2011 – 2017)



**George Andrew Conway, Jr., Wealth Advisor**

**Year of Birth:** 1987

**Formal Education:**

Harvard University (2011), Bachelor of Science, Chemistry

**Professional Designations:**

Chartered Financial Analyst® (2023)

Series 65 (2017)

**Business Background:**

Mission Wealth Management, LP (2024 – present)

Charles Carroll Financial Partners, Director (2022-2024)

St. Sebastian’s School, Faculty (2016-2022)

Charles Carroll Financial Partners, Advisor (2015-2019)



**Ethan Cooper, Senior Wealth Advisor**

**Year of Birth:** 1992

**Formal Education:**

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

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (2019)

Series 65 (2017)

**Business Background:**

Mission Wealth Management, LP (2022 – present)

WealthPlan Advisors, Inc. (2015 – 2022)

Edward Jones (2015)



**Jonathan DeMoss, Senior Wealth Advisor**

**Year of Birth:** 1990

**Formal Education:**

Wheaton College (2014), Bachelor of Arts, Business and Economics

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (2024)

Chartered Financial Analyst® (2021)

Series 66 (2014)

**Business Background:**

Mission Wealth Management, LP (2024 – present)

Advance Capital Management, Financial Advisor (2020-2024)

Innovator ETFs, Advisor Consultant (2018-2020)

Powershares ETFs/Invesco, Wholesaler (2015-2018)

Edward Jones, Financial Advisor (2014)



**Michael Dittamo, Wealth Advisor Associate**

**Year of Birth:** 1994

**Formal Education:**

University of California, Santa Barbara (2016), Bachelor of Arts, Global Studies

**Professional Designations:**

Accredited Wealth Management Advisor™ (2024)

Accredited Asset Management Specialist™ (2024)

Series 66 (2022), Series 7 TO (2019), Series 63 (2019), Series 6 TO (2019), SIE (2019)

**Business Background:**

Mission Wealth Management, LP (2023 – present)

Merrill Lynch, Financial Solutions Advisor (2022-2023)

PlanMember, Financial Advisor (2018-2022)

Yardi Systems, Jr. Account Executive (2016-2018)



**Evan Elig, Wealth Advisor Associate**

**Year of Birth:** 1998

**Formal Education:**

Princeton University (2020), Bachelor of Arts, Economics

**Professional Designations:**

Accredited Wealth Management Advisor™ (2024)

Accredited Asset Management Specialist™ (2024)

Series 65 (2021)

**Business Background:**

Mission Wealth Management, LP (2024 – present)

American Assets Capital Advisors, Analyst (2020-2024)



**Patricia Fahnoe, Partner, Senior Wealth 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™ (1996)

**Business Background:**

Mission Wealth Management, LP (2011 – present)

Mercer Advisors, Strategic Advisor (1997 – 2011)



**Herbert Roldan Flores, Wealth Advisor**

**Year of Birth:** 1981

**Formal Education:**



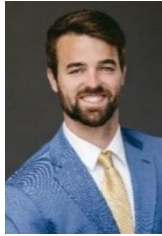
San Francisco State University (2005), English  
University of California Los Angeles Extension (2010), Personal Financial Planning Certificate

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (2024)  
Series 65 (2023)  
Series 66 (2022)  
Security Industry Essentials®(2022)

**Business Background:**

Mission Wealth Management, LP (2023 – present)  
J.P. Morgan Chase Bank, Private Client Banker (2022 – 2023)  
Bank of the West Investment Services, Inc., Private Client Advisor (2014- 2015)  
Union Bank (2011 – 2014)



**Will Foley, Wealth 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™ (2022)

**Business Background:**

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



**Daniel Yshai Friedman, Wealth Advisor Associate**

**Year of Birth:** 2001

**Formal Education:**

Indiana University, Kelley School of Business (2023), Bachelor of Science, Finance

**Professional Designations:**

Series 65 (2023)

**Business Background:**

Mission Wealth Management, LP (2024 – present)  
Singer Wealth, Client Ambassador (2023)  
ToYourDoorMedical, Client Associate Intern (2022-2023)



**Geoffrey Sutherland Gags, Partner, Senior Wealth 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™ (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)



**Herbert J. Gebhart, Senior Wealth Advisor Associate**

**Year of Birth:** 1959

**Formal Education:**

University of California – Santa Cruz Extension (2019), Certificate in Personal Financial Planning

Kansas University (1982), Master of Science, Electrical Engineering

Kansas University (1980), Bachelor of Science, Electrical Engineering

St. Louis University (1978), Physics

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (2020)

Series 65 (2022)

**Business Background:**

Mission Wealth Management, LP (2023 – present)

BHJ Wealth Advisors, Associate Financial Advisor (2022-2023)

NXP Semiconductors, Senior Director of Engineering (2015-2022)

Rambus, Vice President of Strategic Development (2007-2014)



**Ishan Gondara, Investment Associate**

**Year of Birth:** 2000

**Formal Education:**

University of California, Santa Barbara (2023), Bachelor of Science, Financial Mathematics and Statistics

Ohlone Community College (2021), Associates of Science, Mathematics

**Professional Designations:**

Series 65 (2023)

**Business Background:**

Mission Wealth Management, LP (2024 - present)

Mission Wealth Management, LP, Investment Intern (2023)

UBS, Intern (2022-2023)



**Ricardo D. Gonzalez, Partner, Senior Wealth 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™ (2017)

Accredited Wealth Management Advisor™ (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, Senior Wealth 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™ (2019)

**Business Background:**

Mission Wealth Management, LP (2018 – present)

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



**Cole Haddock, Wealth Advisor**

**Year of Birth:** 1986

**Formal Education:**

Southeastern Louisiana University (2012)

**Professional Designations:**

Chartered Retirement Planning Counselor™ (2023)

Accredited Asset Management Specialist™ (2023)

Accredited Wealth Management Advisor™ (2023)

Series 65 (2022)

**Business Background:**

Mission Wealth Management, LP (2022 – present)

Halbert Wealth Management (2021 – 2022)



**Carroll William Hayes, Jr., Partner and Senior Wealth Advisor**

**Year of Birth:** 1952



**Formal Education:**

Suffolk University, Master of Business Administration, Finance (2008)  
Marquette University, Bachelors of Arts, Political Science (1974)

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (2008)

**Business Background:**

Mission Wealth Management, LP (2024 – present)  
Charles Carroll Financial Partners, Principal (2008-2024)



**Mark Herman, Senior Wealth 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™ (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, Wealth 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™ (2021)

**Business Background:**

Mission Wealth Management, LP (2018 – present)  
Fisher Investments, Investment Counselor (2016 – 2017)  
Brouwer & Janachowski, Financial Advisor Associate (2008 – 2015)



**Allyn Michael Hughes, Director of Risk Management**

**Year of Birth:** 1960

**Formal Education:**



San Francisco State University (1991), Master of Business Administration in Marketing  
San Jose State University (1983), Bachelor of Administration, Advertising

**Professional Designations:**

Chartered Advisor in Philanthropy® (2013)  
CERTIFIED FINANCIAL PLANNER™ (2010)  
Chartered Life Underwriter (2010)  
Chartered Financial Consultant (2009)  
Life Insurance Licensed Agent (2009)

**Business Background:**

Mission Wealth Management, LP (2023 – present)  
BHJ Wealth Advisors, Vice President (2009-2023)



**Kristina Gwendolyn Kearney, Wealth 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™ (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)



**Griffin Kent, Senior Wealth Advisor Associate**

**Year of Birth:** 2000

**Formal Education:**

University of Texas – McCombs (2022), Bachelor of Arts, Finance

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (2024)  
Accredited Wealth Management Advisor™ (2022)  
Accredited Asset Management Specialist™ (2022)  
Series 65 (2022)  
Securities Industry Essentials (2021)

**Business Background:**

Mission Wealth Management, LP (2023 – present)  
Silicon Hills Wealth Management, Associate (2022 – 2023)





**Joey Khoury, Senior Wealth Advisor**

**Year of Birth:** 1996

**Formal Education:**

College for Financial Planning (2023), Masters of Science Degree in Personal Financial Planning and Client Psychology

Cornell University (2018), Bachelor of Science, Economics

**Professional Designations:**

Chartered Retirement Plans Specialist™ (2022)

Accredited Wealth Management Advisor™ (2022)

Accredited Behavioral Finance Professional™ (2021)

CERTIFIED FINANCIAL PLANNER™ (2019)

**Business Background:**

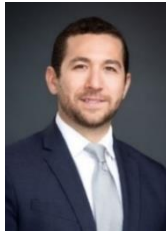
Mission Wealth Management, LP (2020 – present)

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, Partner, Managing Director, Senior Wealth 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™ (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)



**Keaton William Krutenat, Wealth Advisor**

**Year of Birth:** 1998

**Formal Education:**

College of Financial Planning, Masters of Financial Planning (2024)

Pepperdine University, Bachelor of Science, Finance (2021)



**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (2024)

Chartered SRI Counselor™ (2023)

Accredited Wealth Management Advisor™ (2022)

**Business Background:**

Mission Wealth Management, LP (2021– present)

Integrated Procurement Technologies, Intern (2016-2020)



**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™ (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 PLLC, Attorney (2017 – 2018)

Weiner & McCulloch PLLC, 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, Senior Wealth Advisor**

**Year of Birth:** 1966

**Formal Education:**

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

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (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)



**Rory Macdonald, Partner, Senior Wealth 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™ (2015)

Accredited Portfolio Management Advisor™ (2014)

Accredited Wealth Management Adviser™ (2013)

Accredited Asset Management Specialist™ (2012)

**Business Background:**

Mission Wealth Management, LP (2012 – present)

Merrill Lynch, Summer Intern, (2009 – 2010)



**Shane Meares, Wealth Advisor**

**Year of Birth:** 1995

**Formal Education:**

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

Finance

**Professional Designations:**

Certified Divorce Financial Analyst® (2023)

CERTIFIED FINANCIAL PLANNER™ (2021)

**Business Background:**

Mission Wealth, LP (2020 – present)

Investment Architects, Inc. (2017 – 2020)



**Bryant Gene Merryman, Partner, Senior Wealth Advisor**

**Year of Birth:** 1992

**Formal Education:**

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

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (2022)

**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)



**Braydan Meyers, Wealth Advisor Associate**

**Year of Birth:** 2001



**Formal Education:**

Western Carolina University, Bachelor of Science, Personal Financial Planning (2023)

**Professional Designations:**

Accredited Wealth Management Advisor™ (2024)

Accredited Asset Management Specialist™ (2023)

Series 65 (2023)

**Business Background:**

Mission Wealth, LP (2023 – present)

Prospect Student Living, Community Assistant (2022-2023)

NC Department of Revenue, Intern IC Division



**Alison Rose Miller, Senior Wealth Advisor Associate**

**Year of Birth:** 1999

**Formal Education:**

St. Edward's University, Bachelor of Business Administration in Finance (2021)

**Professional Designations:**

Series 65 (2022)

**Business Background:**

Mission Wealth, LP (2023 – present)

Per Stirling Capital Management, Client Service Associate (2019 – 2023)



**Ryan Thomas Miller, Wealth Advisor Associate**

**Year of Birth:** 2000

**Formal Education:**

University of Illinois at Urbana-Champaign, Bachelor of Science in Finance (2023)

**Professional Designations:**

Accredited Wealth Management Advisor™ (2023)

Accredited Asset Management Specialist™ (2023)

Series 65 (2023)

**Business Background:**

Mission Wealth, LP (2022 – present)



**Jose Monreal, Senior Wealth Advisor**

**Year of Birth:** 1994

**Formal Education:**

University of California, Riverside, Bachelor of Science in Finance (2019),

Santa Rosa Junior College, Associate in Business (2017)

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (2022)

Retirement Income Certified Professional® (2020)

Series 7 (2020), Series 65 (2019), Series 63 (2017), Series 6 (2017)



Securities Industry Essential Examination (2018)

**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, Partner, Senior Wealth 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

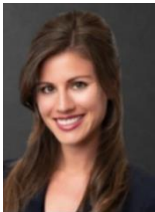
**Professional Designation:**

CERTIFIED FINANCIAL PLANNER™ (2018)

**Business Background:**

Mission Wealth Management, LP (2017 – present)

Kaye Capital Management (2014 – 2017)



**Lisa Murphy, Wealth Advisor**

**Year of Birth:** 1987

**Formal Education:**

Columbia University (2021), Masters in Wealth Management

San Diego State University (2008), Bachelor of Communications

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (2022)

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)



**Matt Murphy, Partner, Senior Wealth Advisor**

**Year of Birth:** 1968

**Formal Education:**

Illinois State University (1994), Bachelor of Science, Finance

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (2003)

Series 65 (2003)

**Business Background:**

Mission Wealth Management, LP (2023 – present)



Murphy Capital Advisors, LLC (2004 – 2023)



**Emil Nazaretyan, Partner, Director of Investments**

**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)

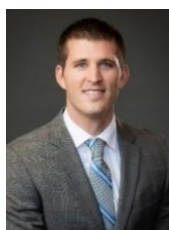
Green Logic Asset Management, Co-Founder (2012 – 2013)

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, Senior Wealth Advisor**

**Year of Birth:** 1987

**Formal Education:**

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

**Professional Designations:**

Chartered Life Underwriter (2016)

CERTIFIED FINANCIAL PLANNER™ (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)



**Jesse Pantano, Senior Wealth Advisor**

**Year of Birth:** 1980

**Formal Education:**

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

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (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)



**Mia Parnell, Wealth Advisor**

**Year of Birth:** 1995

**Formal Education:**

Clark University, Master of Business Administration (2018)

Clark University, Bachelor of Arts, Business Management (2017)

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (2024)

**Business Background:**

Mission Wealth Management, LP (2021 – present)

AppFolio, Inc., Manager/Website Production Specialist (2018-2021)



**Weston Paul Patton, Partner, Senior Wealth 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™ (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 L. Penso, Partner, Managing Director, 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  
an emphasis in Accounting

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (2006)

**Business Background:**

Mission Wealth Management, LP (2005 – present)  
National Planning Corporation, Registered Representative (2005 – 2013)



**Jorie Lyn Pitt, Partner, Senior Wealth 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 (2013)  
CERTIFIED FINANCIAL PLANNER™ (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, Senior Wealth Advisor**

**Year of Birth:** 1974

**Formal Education:**

Stanford University (1997), Bachelor of Arts, Economics

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (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, Wealth 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™ (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, Senior Wealth 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™ (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, Portfolio Manager**

**Year of Birth:** 1991

**Formal Education:**

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

**Professional Designations:**

Chartered Financial Analyst® (2022)  
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)



**Austin David Roberts, Wealth Advisor Associate**

**Year of Birth:** 2003

**Formal Education:**

University of California, Santa Barbara, Bachelor of Science, Economics and Accounting (2024)

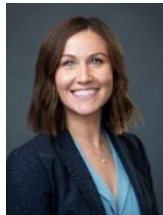
Santa Barbara City College, Associates, Economics (2022)

**Professional Designations:**

Accredited Wealth Management Advisor™ (2023)

**Business Background:**

Mission Wealth Management, LP (2023 – present)



**Jenna Lauryn Rogers, Partner, Senior Wealth 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™ (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, Partner, Senior Wealth Advisor**

**Year of Birth:** 1992

**Formal Education:**

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

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (2017)

Accredited Asset Management Specialist™ (2015)

Accredited Wealth Management Advisor™ (2015)

**Business Background:**



Mission Wealth Management, LP (2014 – present)



**Oliver Schulten, Wealth Advisor Associate**

**Year of Birth:** 2001

**Formal Education:**

University of California, Santa Barbara (2023), Bachelor of Science, Financial Math and Statistics

**Professional Designations:**

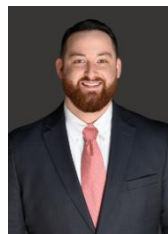
Accredited Asset Management Specialist™ (2023)

Accredited Wealth Management Advisor™ (2023)

**Business Background:**

Mission Wealth Management, LP (2022 – present)

TSG Wealth Management, Apprentice (2021)



**Mathias Silberstein, Wealth Advisor Associate**

**Year of Birth:** 1998

**Formal Education:**

Colorado University, Denver (2023), Bachelor of Science, Accounting

**Professional Designations:**

Series 65 (2023), Series 7 (2020)

**Business Background:**

Mission Wealth Management, LP (2024 – present)

Lido Advisors, Wealth Manager (2021-2024)

ANB Bank, Banker, Sales Assistant (2019-2021)

Ackerman Real Estate, Broker's Associate (2017)



**Eric Matthew Smith, Senior Wealth 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™ (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)

CERTIFIED FINANCIAL PLANNER™ (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, Managing Director, Senior Wealth 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™ (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)



**Brad Warren Stark, Founder, Partner, 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™ (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™ (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, President**

**Year of Birth:** 1974

**Formal Education:**

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

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (1999)

**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)

Breck & Young Advisors, Inc., Registered Representative (1999 – 2009)

Aragon Securities, Registered Representative (1996 – 1999)



**Jared Andrew Sweeney, Senior Wealth Advisor**

**Year of Birth:** 1986

**Formal Education:**

Rensselaer Polytechnic Institute (2009), Bachelor of Science, Economics

Hudson Valley Community College (2008)

Boston University (2019), Certification in Financial Planning

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (2019)

Series 66 (2010), Series 7 (2009)

**Business Background:**

Mission Wealth Management, LP (2023 – present)

PRW Wealth Management LLC, Senior Wealth Advisor (2018 – 2022)

Contravisory Investment Management, VP of Private Client (2016 – 2017)

Morgan Stanley, Private Bank Associate (2014 – 2016)

JP Morgan Chase, Private Client Banker (2010 – 2014)



**Kristen Taylor, Partner, Senior Wealth 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™ (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, Director of Philanthropic Strategy**

**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™ (2012)

Accredited Wealth Management Advisor™ (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)



**Byron Valles, Senior Wealth Advisor Associate**

**Year of Birth:** 1989

**Formal Education:**

Golden Gate University (2021), Master of Science, Financial Planning  
San Jose State University (2017), Bachelor of Arts, Communication

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (2022)

Series 9, 10 (2019)

Life, Health, Variable Annuities (2019)

Series 7, 66 (2018)

**Business Background:**

Mission Wealth Management, LP (2024 – present)

LPL Financial, Financial Advisor (2023-2024)

First Republic Private Wealth, Director (2021-2023)

Fidelity Investments, Financial Consultant (2019-2021)

First Republic Private Wealth, Associate Team Lead (2017-2019)



**Mary Voll Miller, Partner, Senior Wealth Advisor**

**Year of Birth:** 1958

**Formal Education:**

Syracuse University (1981), Bachelor of Science in Theatre

University of Texas at Austin (2008), Financial Planning Certificate Program

**Professional Designations:**

CERTIFIED FINANCIAL PLANNER™ (2010)

CERTIFIED DIVORCE FINANCIAL ANALYST® (2012)

Series 65 (2008)

Texas Life & Health Insurance (2006)

**Business Background:**

Mission Wealth Management, LP (2023 – present)

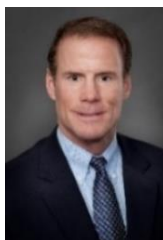
Per Stirling Capital Management, LLC, Partner and Investment Advisor Rep. (2011 – 2023)

BB. Graham & Company, Registered Representative (2011 – 2021)

Hill Country Wealth Management, Member (2011 – 2014)

Choice Advisory Group Inc, Investment Advisor Representative (2008 – 2011)

Choice Investments, Inc. Registered Representative (2008 – 2011)



**Pete Woodring, Wealth Advisor**

**Year of Birth:** 1968



**Formal Education:**

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

**Professional Designations:**

Accredited Wealth Management Advisor™ (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.

ABFP™ (Accredited Behavioral Finance Professional™): 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 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.





CDFA® (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 Wealth Advisors (WA).

## **Part 2 b Item 3 – Other Business Activities**

The WAs of MWM may also be licensed insurance agents. Approximately 5% of the time of MWM or its WAs 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 WAs 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 WAs' 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, Dannel Stuart, 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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