

## **Part 2B of Form ADV “Brochure Supplement”**

**Legacy Wealth Management, Inc.**

**6800 Poplar Avenue, Suite 101**

**Memphis, TN 38138**

**(901)758-9006**

**July 13, 2012**

This brochure supplement provides information about John Ueleke, James Isaacs, Robert Trimm, Duncan Miller, Cathy Simmons, E. Charles Jalenak, David Metzger, Steve Holdsworth, Rob Sievers, Shelly Baker, Spencer Hope, John-Michael Clowers, Hallie Peyton, Bill Overcast, Deborah McVeigh, Lindsey Mazzola, Rebecca Rawlinson, Brienne Smith Jackson and Joseph Dyal. It supplements the Legacy Wealth Management, Inc. Brochure. You should have received a copy of that brochure. Please contact Cathy Simmons, Chief Compliance Officer, at (901)758-9006 if you did not receive Legacy Wealth Management’s brochure or if you have any questions about the contents of this supplement.

Additional information about Messrs. Ueleke, Isaacs, Trimm, Miller, Simmons, Jalenak, Metzger, Holdsworth, Sievers, Baker, Hope, Clowers, Peyton, Overcast, McVeigh, Mazzola, Rawlinson, Smith Jackson or Dyal is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Legacy Wealth Management, Inc.

### Educational Background and Business Experience

The members of Legacy Wealth Management, Inc. listed on the pages that follow may contain one or both of the following professional designations: CERTIFIED FINANCIAL PLANNER (CFP®); Chartered Financial Analyst (CFA). An explanation of the minimum qualifications required for each designation is as follows.

**The CERTIFIED FINANCIAL PLANNER™, CFP®** and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 62,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor’s Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board’s financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;

- Examination – Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board’s ***Standards of Professional Conduct***, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the ***Code of Ethics*** and other parts of the ***Standards of Professional Conduct***, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the ***Standards of Professional Conduct***. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

**The Chartered Financial Analyst (CFA)** charter is a professional designation established in 1962 and awarded by CFA Institute. To earn the CFA charter, candidates must pass three sequential, six-hour examinations over two to four years. The three levels of the CFA Program test a wide range of investment topics, including ethical and professional standards, fixed-income analysis, alternative and derivative investments, and portfolio management and wealth planning. In addition, CFA charterholders must have at least four years of acceptable professional experience in the investment decision-making process and must commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

# John W. Ueleke

## **Educational Background and Business Experience**

Year of Birth: 1947

Southeast Missouri State University – B.S. in Physics and Mathematics

Indiana University – M.B.A. in Finance

CERTIFIED FINANCIAL PLANNER (CFP®)

Legacy Wealth Management, Inc.

Chairman and Founder – February, 2011 to present

CEO – May, 2009 to January, 2011

President and CEO – April, 1982 to April, 2009

## **Disciplinary Information**

Mr. Ueleke has not been involved in any investment-related legal or disciplinary events material to a client's evaluation of Mr. Ueleke or Legacy Wealth Management, Inc.

## **Other Business Activities**

Mr. Ueleke is not involved in any investment-related business or occupation outside of Legacy Wealth Management, Inc., nor does he receive compensation from any investment-related business or occupation other than Legacy Wealth Management, Inc.

## **Additional Compensation**

Mr. Ueleke does not receive economic benefits from any person or entity other than Legacy Wealth Management, Inc. in connection with the provision of investment advice to clients. Mr. Ueleke may receive a bonus from Legacy Wealth Management, Inc. based on an annual goal for new accounts.

## **Supervision**

Mr. Ueleke's investment advisory activities are supervised by the board of directors of Legacy. A member of the board of directors can be reached by calling the telephone number on the cover of this brochure supplement. Legacy's Chief Compliance Officer is Cathy Simmons and she can be reached at the same number.

# James J. Isaacs

## **Educational Background and Business Experience**

Year of Birth: 1958

Ithaca College – B.A. in Chemistry

Seton Hall University – M.B.A. in Finance

CERTIFIED FINANCIAL PLANNER (CFP®)

Legacy Wealth Management, Inc.

President and CEO – February, 2011 to present

President – May, 2009 to January, 2011

Chief Operating Officer – June 2004 to April, 2009

## **Disciplinary Information**

Mr. Isaacs has not been involved in any investment-related legal or disciplinary events material to a client's evaluation of Mr. Isaacs or Legacy Wealth Management, Inc.

## **Other Business Activities**

Mr. Isaacs is not involved in any investment-related business or occupation outside of Legacy Wealth Management, Inc., nor does he receive compensation from any investment-related business or occupation other than Legacy Wealth Management, Inc.

## **Additional Compensation**

Mr. Isaacs does not receive economic benefits from any person or entity other than Legacy Wealth Management, Inc. in connection with the provision of investment advice to clients. Mr. Isaacs may receive a bonus from Legacy Wealth Management, Inc. based on an annual goal for new accounts.

## **Supervision**

Mr. Isaac's investment advisory activities are supervised by the board of directors of Legacy. A member of the board of directors can be reached by calling the telephone number on the cover of this brochure supplement. Legacy's Chief Compliance Officer is Cathy Simmons and she can be reached at the same number.

# **Robert Trimm**

## **Educational Background and Business Experience**

Year of Birth: 1969

University of North Alabama, Florence – B.A. in Economics and Finance

University of Mississippi, Oxford - M.A. in Economics

University of Mississippi, Oxford – Ph.D. in Economics

Chartered Financial Analyst (CFA)

Legacy Wealth Management, Inc.

Chief Investment Officer – June, 2012 to present

Freed Hardeman University

Assistant Professor of Finance – January, 2011 to May, 2012

Legacy Wealth Management, Inc.

Economist/Consultant – January, 2011 to May, 2012

Director of Research – March, 2008 to December, 2010

Navy Installations Command

Investment Administrator – December, 2001 to February, 2008

## **Disciplinary Information**

Dr. Trimm has not been involved in any investment-related legal or disciplinary events material to a client's evaluation of Dr. Trimm or Legacy Wealth Management, Inc.

## **Other Business Activities**

Dr. Trimm is not involved in any investment-related business or occupation outside of Legacy Wealth Management, Inc., nor does he receive compensation from any investment-related business or occupation other than Legacy Wealth Management, Inc. He is employed by Freed Hardeman University as an assistant professor teaching economics and finance.

## **Additional Compensation**

Dr. Trimm does not receive economic benefits from any person or entity other than Legacy Wealth Management, Inc. in connection with the provision of investment advice to clients.

## **Supervision**

Mr. Trimm's investment advisory activities are supervised by President and CEO Jim Isaacs. Mr. Isaacs can be reached by calling the telephone number on the cover of this brochure supplement. Legacy's Chief Compliance Officer is Cathy Simmons and she can be reached at the same number.

# **Duncan L. Miller**

## **Educational Background and Business Experience**

Year of Birth: 1969

Washington & Lee University – B.A. in History and Religion

Boston College - M.A. in Theology

CERTIFIED FINANCIAL PLANNER (CFP®)

Legacy Wealth Management, Inc.

Director Client Services and Portfolio Management – February, 2011 to present

Portfolio Manager – June, 2000 to January, 2011

## **Disciplinary Information**

Mr. Miller has not been involved in any investment-related legal or disciplinary events material to a client's evaluation of Mr. Miller or Legacy Wealth Management, Inc.

## **Other Business Activities**

Mr. Miller is not involved in any investment-related business or occupation outside of Legacy Wealth Management, Inc., nor does he receive compensation from any investment-related business or occupation other than Legacy Wealth Management, Inc.

## **Additional Compensation**

Mr. Miller does not receive economic benefits from any person or entity other than Legacy Wealth Management, Inc. in connection with the provision of investment advice to clients. Mr. Miller may receive a bonus from Legacy Wealth Management, Inc. based on an annual goal for new accounts.

## **Supervision**

Mr. Miller's investment advisory activities are supervised by President and CEO Jim Isaacs. Mr. Isaacs can be reached by calling the telephone number on the cover of this brochure supplement. Legacy's Chief Compliance Officer is Cathy Simmons and she can be reached at the same number.

# Cathy A. Simmons

## **Educational Background and Business Experience**

Year of Birth: 1952

University of Memphis – B.S. in Business Administration

University of Memphis – M.B.A. in Marketing

CERTIFIED FINANCIAL PLANNER (CFP®)

Legacy Wealth Management, Inc.

Chief Compliance Officer/Director Client Services – April, 2007 to present

Director Client Services and Financial Planning– October, 2004 to March, 2007

## **Disciplinary Information**

Ms. Simmons has not been involved in any investment-related legal or disciplinary events material to a client's evaluation of Ms. Simmons or Legacy Wealth Management, Inc.

## **Other Business Activities**

Ms. Simmons is not involved in any investment-related business or occupation outside of Legacy Wealth Management, Inc., nor does she receive compensation from any investment-related business or occupation other than Legacy Wealth Management, Inc.

## **Additional Compensation**

Ms. Simmons does not receive economic benefits from any person or entity other than Legacy Wealth Management, Inc. in connection with the provision of investment advice to clients. Ms. Simmons may receive a bonus from Legacy Wealth Management, Inc. based on an annual goal for new accounts.

## **Supervision**

Ms. Simmons' investment advisory activities are supervised by President and CEO Jim Isaacs. Mr. Isaacs can be reached by calling the telephone number on the cover of this brochure supplement. Legacy's Chief Compliance Officer is Cathy Simmons and she can be reached at the same number.



## E. Charles Jalenak

### **Educational Background and Business Experience**

Year of Birth: 1964

Tulane University – B.S. in Management

The Wharton School of the University of Pennsylvania - M.B.A. in Finance and Management

Legacy Wealth Management, Inc.

Director of Family Wealth Advising – July, 2011 to present

Jalenak Capital Management

Founder and President – October, 1999 to July, 2011

### **Disciplinary Information**

Mr. Jalenak has not been involved in any investment-related legal or disciplinary events material to a client's evaluation of Mr. Jalenak or Legacy Wealth Management, Inc.

### **Other Business Activities**

Mr. Jalenak is not involved in any investment-related business or occupation outside of Legacy Wealth Management, Inc., nor does he receive compensation from any investment-related business or occupation other than Legacy Wealth Management, Inc.

### **Additional Compensation**

Mr. Jalenak does not receive economic benefits from any person or entity other than Legacy Wealth Management, Inc. in connection with the provision of investment advice to clients. Mr. Jalenak may receive a bonus from Legacy Wealth Management, Inc. based on an annual goal for new accounts.

### **Supervision**

Mr. Jalenak's investment advisory activities are supervised by Director of Client Service Hallie Peyton. Ms. Peyton can be reached by calling the telephone number on the cover of this brochure supplement. Legacy's Chief Compliance Officer is Cathy Simmons and she can be reached at the same number.

# David G. Metzger

## **Educational Background and Business Experience**

Year of Birth: 1979

Oklahoma State University – B.S. Finance and International Business

Oklahoma State University – M.B.A. in Management

CERTIFIED FINANCIAL PLANNER (CFP®)

Chartered Financial Analyst (CFA)

Legacy Wealth Management, Inc.

Director of Financial Planning – February, 2011 to present

Client Services Manager – September, 2006 to January, 2011

Zacks Investment Management

Director of Financial Planning – February, 2006 to August, 2006

## **Disciplinary Information**

Mr. Metzger has not been involved in any investment-related legal or disciplinary events material to a client's evaluation of Mr. Metzger or Legacy Wealth Management, Inc.

## **Other Business Activities**

Mr. Metzger is not involved in any investment-related business or occupation outside of Legacy Wealth Management, Inc., nor does he receive compensation from any investment-related business or occupation other than Legacy Wealth Management, Inc.

## **Additional Compensation**

Mr. Metzger does not receive economic benefits from any person or entity other than Legacy Wealth Management, Inc. in connection with the provision of investment advice to clients. Mr. Metzger may receive a bonus from Legacy Wealth Management, Inc. based on an annual goal for new accounts.

## **Supervision**

Mr. Metzger's investment advisory activities are supervised by Director of Client Service and Portfolio Management Duncan Miller. Mr. Miller can be reached by calling the telephone number on the cover of this brochure supplement. Legacy's Chief Compliance Officer is Cathy Simmons and she can be reached at the same number.

# Steven A. Holdsworth

## **Educational Background and Business Experience**

Year of Birth: 1971

University of Texas at Arlington – B.B.A. in Finance

University of Dallas - M.B.A. in Financial and Estate Planning

CERTIFIED FINANCIAL PLANNER (CFP®)

Legacy Wealth Management, Inc.

Director of Financial Planning – June, 2011 to present

Managing Director of Client Services and Financial Planning – January, 2011 to June, 2011

Director Client Services and Financial Planning – October, 2004 to January, 2011

## **Disciplinary Information**

Mr. Holdsworth has not been involved in any investment-related legal or disciplinary events material to a client's evaluation of Mr. Holdsworth or Legacy Wealth Management, Inc.

## **Other Business Activities**

Mr. Holdsworth is not involved in any investment-related business or occupation outside of Legacy Wealth Management, Inc., nor does he receive compensation from any investment-related business or occupation other than Legacy Wealth Management, Inc.

## **Additional Compensation**

Mr. Holdsworth does not receive economic benefits from any person or entity other than Legacy Wealth Management, Inc. in connection with the provision of investment advice to clients. Mr. Holdsworth may receive a bonus from Legacy Wealth Management, Inc. based on an annual goal for new accounts.

## **Supervision**

Mr. Holdsworth's investment advisory activities are supervised by Director of Client Service Hallie Peyton. Ms. Peyton can be reached by calling the telephone number on the cover of this brochure supplement. Legacy's Chief Compliance Officer is Cathy Simmons and she can be reached at the same number.

## Robin (Rob) K. Sievers

### **Educational Background and Business Experience**

Year of Birth: 1977

University of Tennessee – B.A. in Finance

Arizona State University – M.B.A. in Management

CERTIFIED FINANCIAL PLANNER (CFP®)

Legacy Wealth Management, Inc.  
Portfolio Manager – August, 2007 to present

Charles Schwab & Co.  
Relationship Specialist – July, 2000 to July, 2007

### **Disciplinary Information**

Mr. Sievers has not been involved in any investment-related legal or disciplinary events material to a client's evaluation of Mr. Sievers or Legacy Wealth Management, Inc.

### **Other Business Activities**

Mr. Sievers is not involved in any investment-related business or occupation outside of Legacy Wealth Management, Inc., nor does he receive compensation from any investment-related business or occupation other than Legacy Wealth Management, Inc.

### **Additional Compensation**

Mr. Sievers does not receive economic benefits from any person or entity other than Legacy Wealth Management, Inc. in connection with the provision of investment advice to clients. Mr. Sievers may receive a bonus from Legacy Wealth Management, Inc. based on an annual goal for new accounts.

### **Supervision**

Mr. Sievers' investment advisory activities are supervised by Director of Client Service and Portfolio Management Duncan Miller. Mr. Miller can be reached by calling the telephone number on the cover of this brochure supplement. Legacy's Chief Compliance Officer is Cathy Simmons and she can be reached at the same number.

# Shelly H. Baker

## **Educational Background and Business Experience**

Year of Birth: 1969

University of Memphis – B.B.A. in Finance

CERTIFIED FINANCIAL PLANNER (CFP®)

Legacy Wealth Management, Inc.  
Portfolio Manager – July, 2009 to present

Waddell & Associates  
June, 2004 to December, 2008

## **Disciplinary Information**

Ms. Baker has not been involved in any investment-related legal or disciplinary events material to a client's evaluation of Ms. Baker or Legacy Wealth Management, Inc.

## **Other Business Activities**

Ms. Baker is not involved in any investment-related business or occupation outside of Legacy Wealth Management, Inc., nor does she receive compensation from any investment-related business or occupation other than Legacy Wealth Management, Inc.

## **Additional Compensation**

Ms. Baker does not receive economic benefits from any person or entity other than Legacy Wealth Management, Inc. in connection with the provision of investment advice to clients. Ms. Baker may receive a bonus from Legacy Wealth Management, Inc. based on an annual goal for new accounts.

## **Supervision**

Ms. Baker's investment advisory activities are supervised Director of Client Service Hallie Peyton. Ms. Peyton can be reached by calling the telephone number on the cover of this brochure supplement. Legacy's Chief Compliance Officer is Cathy Simmons and she can be reached at the same number.

# W. Spencer Hope

## **Educational Background and Business Experience**

Year of Birth: 1978

University of Tennessee at Knoxville – B.S. in Business Administration

Chartered Financial Analyst (CFA)

Legacy Wealth Management, Inc.

Senior Financial Analyst – March, 2011 to present

Morgan Keegan

Due Diligence Specialist – January, 2007 to March, 2011

Assistant CRO, Compliance Administrator – May, 2005 to January, 2007

## **Disciplinary Information**

Mr. Hope has not been involved in any investment-related legal or disciplinary events material to a client's evaluation of Mr. Hope or Legacy Wealth Management, Inc.

## **Other Business Activities**

Mr. Hope is not involved in any investment-related business or occupation outside of Legacy Wealth Management, Inc., nor does he receive compensation from any investment-related business or occupation other than Legacy Wealth Management, Inc.

## **Additional Compensation**

Mr. Hope does not receive economic benefits from any person or entity other than Legacy Wealth Management, Inc. in connection with the provision of investment advice to clients. Mr. Hope may receive a bonus from Legacy Wealth Management, Inc. based on an annual goal for new accounts.

## **Supervision**

Mr. Hope's investment advisory activities are supervised by President and CEO Jim Isaacs. Mr. Isaacs can be reached by calling the telephone number on the cover of this brochure supplement. Legacy's Chief Compliance Officer is Cathy Simmons and she can be reached at the same number.

# John-Michael M. Clowers

## **Educational Background and Business Experience**

Year of Birth: 1989

University of Memphis – B.B.A. in Finance

Legacy Wealth Management, Inc.  
Portfolio Manager – June, 2011 to present

Morgan Keegan  
Fixed Income Research Analyst – May, 2010 to June, 2011

University of Memphis  
Student – January, 2010 to May, 2010

Legacy Wealth Management  
Intern – June, 2009 to January, 2010

Patriot Bank  
Teller – June, 2007 to August, 2009 (Mr. Clowers was a High School Student prior to June, 2007)

## **Disciplinary Information**

Mr. Clowers has not been involved in any investment-related legal or disciplinary events material to a client's evaluation of Mr. Clowers or Legacy Wealth Management, Inc.

## **Other Business Activities**

Mr. Clowers is not involved in any investment-related business or occupation outside of Legacy Wealth Management, Inc., nor does he receive compensation from any investment-related business or occupation other than Legacy Wealth Management, Inc.

## **Additional Compensation**

Mr. Clowers does not receive economic benefits from any person or entity other than Legacy Wealth Management, Inc. in connection with the provision of investment advice to clients. Mr. Clowers may receive a bonus from Legacy Wealth Management, Inc. based on an annual goal for new accounts.

## **Supervision**

Mr. Clowers' investment advisory activities are supervised by Director of Client Service Cathy Simmons. Ms. Simmons can be reached by calling the telephone number on the cover of this brochure supplement. Legacy's Chief Compliance Officer is Cathy Simmons and she can be reached at the same number.

# Hallie L. Peyton

## **Educational Background and Business Experience**

Year of Birth: 1964

Centre College of Kentucky – B.A. in English

CERTIFIED FINANCIAL PLANNER (CFP®)

Legacy Wealth Management, Inc.

Director Client Services and Business Development – January, 2008 to present

Director Client Services and Financial Planning – October, 2004 to December, 2007

## **Disciplinary Information**

Ms. Peyton has not been involved in any investment-related legal or disciplinary events material to a client's evaluation of Ms. Peyton or Legacy Wealth Management, Inc.

## **Other Business Activities**

Ms. Peyton is not involved in any investment-related business or occupation outside of Legacy Wealth Management, Inc., nor does she receive compensation from any investment-related business or occupation other than Legacy Wealth Management, Inc.

## **Additional Compensation**

Ms. Peyton does not receive economic benefits from any person or entity other than Legacy Wealth Management, Inc. in connection with the provision of investment advice to clients.

Ms. Peyton may receive a bonus from Legacy Wealth Management, Inc. based on an annual goal for new accounts.

## **Supervision**

Ms. Peyton's investment advisory activities are supervised by President and CEO Jim Isaacs. Mr. Isaacs can be reached by calling the telephone number on the cover of this brochure supplement. Legacy's Chief Compliance Officer is Cathy Simmons and she can be reached at the same number.



# **Bill Overcast**

## **Educational Background and Business Experience**

Year of Birth: 1953

University of Mississippi – B.B.A. in Accounting

CERTIFIED FINANCIAL PLANNER (CFP®)

Legacy Wealth Management, Inc.

Director of Financial Planning – October, 2008 to present

Overcast Financial Planning

Owner and Financial Planner – January, 1997 to September, 2008

## **Disciplinary Information**

Mr. Overcast has not been involved in any investment-related legal or disciplinary events material to a client's evaluation of Mr. Overcast or Legacy Wealth Management, Inc.

## **Other Business Activities**

Mr. Overcast is not involved in any investment-related business or occupation outside of Legacy Wealth Management, Inc., nor does he receive compensation from any investment-related business or occupation other than Legacy Wealth Management, Inc.

## **Additional Compensation**

Mr. Overcast does not receive economic benefits from any person or entity other than Legacy Wealth Management, Inc. in connection with the provision of investment advice to clients. Mr. Overcast may receive a bonus from Legacy Wealth Management, Inc. based on an annual goal for new accounts.

## **Supervision**

Mr. Overcast's investment advisory activities are supervised by Director of Client Service Cathy Simmons. Ms. Simmons can be reached by calling the telephone number on the cover of this brochure supplement. Legacy's Chief Compliance Officer is Cathy Simmons and she can be reached at the same number.

# Deborah McVeigh

## **Educational Background and Business Experience**

Year of Birth: 1950

University of Memphis (attended)

CERTIFIED FINANCIAL PLANNER (CFP®)

Legacy Wealth Management, Inc.

Sr. Financial Planner – February, 2011 to present

Client Services Manager – April, 1991 to January, 2011

## **Disciplinary Information**

Ms. McVeigh has not been involved in any investment-related legal or disciplinary events material to a client's evaluation of Ms. McVeigh or Legacy Wealth Management, Inc.

## **Other Business Activities**

Ms. McVeigh is not involved in any investment-related business or occupation outside of Legacy Wealth Management, Inc., nor does she receive compensation from any investment-related business or occupation other than Legacy Wealth Management, Inc.

## **Additional Compensation**

Ms. McVeigh does not receive economic benefits from any person or entity other than Legacy Wealth Management, Inc. in connection with the provision of investment advice to clients. Ms. McVeigh may receive a bonus from Legacy Wealth Management, Inc. based on an annual goal for new accounts.

## **Supervision**

Ms. McVeigh's investment advisory activities are supervised by Director of Client Service and Portfolio Management Duncan Miller. Mr. Miller can be reached by calling the telephone number on the cover of this brochure supplement. Legacy's Chief Compliance Officer is Cathy Simmons and she can be reached at the same number.

# Lindsey Mazzola

## **Educational Background and Business Experience**

Year of Birth: 1981

University of Memphis – B.B.A. in Finance

Christian Brothers University – M.B.A. in Finance

CERTIFIED FINANCIAL PLANNER (CFP®)

Legacy Wealth Management, Inc.

Director of Client Operations – June, 2012 to present

Financial Planner – February, 2011 to May, 2012

Portfolio Manager – July, 2005 to January, 2011

Financial Analyst – September, 2004 to June, 2005

## **Disciplinary Information**

Ms. Mazzola has not been involved in any investment-related legal or disciplinary events material to a client's evaluation of Ms. Mazzola or Legacy Wealth Management, Inc.

## **Other Business Activities**

Ms. Mazzola is not involved in any investment-related business or occupation outside of Legacy Wealth Management, Inc., nor does she receive compensation from any investment-related business or occupation other than Legacy Wealth Management, Inc.

## **Additional Compensation**

Ms. Mazzola does not receive economic benefits from any person or entity other than Legacy Wealth Management, Inc. in connection with the provision of investment advice to clients. Ms. Mazzola may receive a bonus from Legacy Wealth Management, Inc. based on an annual goal for new accounts.

## **Supervision**

Ms. Mazzola's investment advisory activities are supervised by Director of Client Service Cathy Simmons. Ms. Simmons can be reached by calling the telephone number on the cover of this brochure supplement. Legacy's Chief Compliance Officer is Cathy Simmons and she can be reached at the same number.

# **Rebecca Rawlinson**

## **Educational Background and Business Experience**

Year of Birth: 1981

University of Memphis – B.B.A. in Accounting

CERTIFIED FINANCIAL PLANNER (CFP®)

Legacy Wealth Management, Inc.

Financial Planner – February, 2011 to present

Client Services Manager – June, 2007 to January, 2011

Pathway Financial Services

Business Relations Coordinator - July, 2004 to May, 2007

## **Disciplinary Information**

Ms. Rawlinson has not been involved in any investment-related legal or disciplinary events material to a client's evaluation of Ms. Rawlinson or Legacy Wealth Management, Inc.

## **Other Business Activities**

Ms. Rawlinson is not involved in any investment-related business or occupation outside of Legacy Wealth Management, Inc., nor does she receive compensation from any investment-related business or occupation other than Legacy Wealth Management, Inc.

## **Additional Compensation**

Ms. Rawlinson does not receive economic benefits from any person or entity other than Legacy Wealth Management, Inc. in connection with the provision of investment advice to clients. Ms. Rawlinson may receive a bonus from Legacy Wealth Management, Inc. based on an annual goal for new accounts.

## **Supervision**

Ms. Rawlinson's investment advisory activities are supervised by Director of Client Service Cathy Simmons. Ms. Simmons can be reached by calling the telephone number on the cover of this brochure supplement. Legacy's Chief Compliance Officer is Cathy Simmons and she can be reached at the same number.

# **Brienne Smith Jackson**

## **Educational Background and Business Experience**

Year of Birth: 1981

University of Memphis – B.A. in Finance

University of Memphis – M.B.A. in Finance

CERTIFIED FINANCIAL PLANNER (CFP®)

Legacy Wealth Management, Inc.

Financial Planner – February, 2011 to present

Client Services Manager – August, 2008 to January, 2011

William Howard & Co.

Financial Planning Assistant – January, 2005 to July, 2008

## **Disciplinary Information**

Ms. Smith has not been involved in any investment-related legal or disciplinary events material to a client's evaluation of Ms. Smith or Legacy Wealth Management, Inc.

## **Other Business Activities**

Ms. Smith is not involved in any investment-related business or occupation outside of Legacy Wealth Management, Inc., nor does she receive compensation from any investment-related business or occupation other than Legacy Wealth Management, Inc.

## **Additional Compensation**

Ms. Smith does not receive economic benefits from any person or entity other than Legacy Wealth Management, Inc. in connection with the provision of investment advice to clients. Ms. Smith may receive a bonus from Legacy Wealth Management, Inc. based on an annual goal for new accounts.

## **Supervision**

Ms. Smith's investment advisory activities are supervised by Director of Client Service Hallie Peyton. Ms. Peyton can be reached by calling the telephone number on the cover of this brochure supplement. Legacy's Chief Compliance Officer is Cathy Simmons and she can be reached at the same number.

# Joseph Dyal

## **Educational Background and Business Experience**

Year of Birth: 1978

Texas A&M University – B.B.A. in Finance

Texas Tech University – M.S. in Personal Financial Planning

Texas Tech University – *Juris Doctor*

CERTIFIED FINANCIAL PLANNER (CFP®)

Legacy Wealth Management, Inc.

Estate Planning Advisor – August, 2007 to present

Unemployed

June, 2007 to July, 2007

Student

August, 2004 to May, 2007

## **Disciplinary Information**

Mr. Dyal has not been involved in any investment-related legal or disciplinary events material to a client's evaluation of Mr. Dyal or Legacy Wealth Management, Inc.

## **Other Business Activities**

Mr. Dyal is not involved in any investment-related business or occupation outside of Legacy Wealth Management, Inc., nor does he receive compensation from any investment-related business or occupation other than Legacy Wealth Management, Inc.

## **Additional Compensation**

Mr. Dyal does not receive economic benefits from any person or entity other than Legacy Wealth Management, Inc. in connection with the provision of investment advice to clients. Mr. Dyal may receive a bonus from Legacy Wealth Management, Inc. based on an annual goal for new accounts.

## **Supervision**

Mr. Dyal's investment advisory activities are supervised by Director of Client Service and Portfolio Management Duncan Miller. Mr. Miller can be reached by calling the telephone number on the cover of this brochure supplement. Legacy's Chief Compliance Officer is Cathy Simmons and she can be reached at the same number.