

**NOTMAN FINANCIAL GROUP  
JOHN SHAW NOTMAN  
3133 W. March Lane, Suite 2000  
Stockton, CA 95219**

## **Advisory Personnel Brochure Supplement**

(Part 2B of Form ADV)

This brochure provides information about the qualifications and business practices of Notman Financial Group. If you have any questions about the contents of this brochure, please contact us at: (209) 955-5955, or by email at [NotmanFinancial@aol.com](mailto:NotmanFinancial@aol.com). 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.

December 3, 2012

## **Item A**

### ***Designated Principal (Supervisor)/Sole Shareholder/Investment Advisor Representative***

John S. Notman (Born 1949)

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

1980 ~ San Francisco State University, Masters Degree

1986 – 1990 ~ PaineWebber Incorporated, Investment Representative

1990 – 1995 ~ Merrill Lynch, Investment Representative

1995 – 1997 ~ Dean Witter Reynolds, Investment Representative

1997 – 2003 ~ Sky Investments, Investment Representative

2003 – Present ~ Notman Financial Group, President

## **Item B**

### ***Other Business Activities***

2004 – Present ~ Notman Real Estate Group

2008 – Present ~ Property Preservation Experts

The abovementioned other business activities do not present material conflicts of interest for the financial planning and investment advice services that are by provided by Mr. Notman as the principal of Notman Financial Group.

## **Item C**

Mr. Notman is not compensated for advisory services involving performance-based fees.

## **Item D**

Mr. Notman has been involved in the following events listed below:

Customer Name: Francesca Segarini

Claim: The clients allege the investments sold by the representative were unsuitable and misrepresented to the client also alleges the firm failed to conduct adequate due diligence of the investments and failed to supervise the representative.

Disposition Date: 08/20/2012

Monetary Compensation: \$700,000.00

Mr. Notman's Contribution Amount: \$ 0

Mr. Notman was dismissed with prejudice from the case.

Customer Name: Norma Ditto and Annette Milionis

Claim: The clients allege the investments sold by the representative were unsuitable and misrepresented.

Disposition Date: 05/04/2012

Monetary Compensation: \$ 0

Mr. Notman's Contribution Amount: \$ 0

Mr. Notman was dismissed with prejudice from the case.

Customer Name: Michael Leonard

Claim: The client alleges the investments sold by the representative were unsuitable and misrepresented to the client. Also alleges the firm failed to conduct adequate due diligence of the investments and failed to supervise the representative.

Disposition Date: 04/18/2012

Monetary Compensation: \$ 338,604.05

Mr. Notman's Contribution Amount: \$ 16,666.66

The firm, solely to compromise and settle disputed claims, agreed to settle arbitration with the claimant. Mr. Notman was dismissed with prejudice from the case.

Customer Name: Harold and Susan Watkins

Claim: The client alleges the representative and firm failed to conduct an adequate due diligence examination of the tenants-in-common property that was sold. The recommendations were unsuitable for client given their financial situation.

Disposition Date: 04/18/2012

Monetary Compensation: \$ 346,965.52

Mr. Notman's Contribution Amount: \$ 16,666.67

The firm, solely to compromise and settle disputed claims, agreed to settle arbitration with the claimant. Mr. Notman was dismissed with prejudice from the case.

Customer Name: Jack and Francis Patterson

Claim: The client alleges the representative and firm recommended to invest a significant portion of their life savings into a tenant in common property and the transaction was unsuitable given their financial situation, needs, and investment objective.

Disposition Date: 04/18/2012

Monetary Compensation: \$ 126,793.44

Mr. Notman's Contribution Amount: \$ 16,666.67

The firm, solely to compromise and settle disputed claims, agreed to settle arbitration with the claimant. Mr. Notman was dismissed with prejudice from the case.

Customer Name: Cestmir Herstus and Mary Catherine McGinley

Claim: The client alleges the representative and firm failed to conduct an adequate due diligence examination of the tenants-in-common property that was sold. The recommendations were unsuitable for client given their financial situation.

Disposition Date: 04/18/2012

Monetary Compensation: \$ 331,746.32

Mr. Notman's Contribution Amount: \$ 16,666.66

The firm, solely to compromise and settle disputed claims, agreed to settle arbitration with the claimant. Mr. Notman was dismissed with prejudice from the case.

Customer Name: Melvyn and Betty Stromfield

Claim: The client alleges the representative and firm failed to conduct an adequate due diligence examination of the tenants-in-common property that was sold. The recommendations were unsuitable for client given their financial situation.

Disposition Date: 04/18/2012

Monetary Compensation: \$ 1,792,685.15

Mr. Notman's Contribution Amount: \$ 16,666.67

The firm, solely to compromise and settle disputed claims, agreed to settle arbitration with the claimant. Mr. Notman was dismissed with prejudice from the case.

Customer Name: Lorelee Thompson

Claim: The client alleges the representative and firm recommended to invest a significant portion of their life savings into tenant in common properties and the client was unsuitable given their financial situation, needs and investment objectives.

Disposition Date: 04/18/2012

Monetary Compensation: \$ 234,069.37

Mr. Notman's Contribution Amount: \$ 16,666.67

The firm, solely to compromise and settle disputed claims, agreed to settle arbitration with the claimant. Mr. Notman was dismissed with prejudice from the case.

Customer Name: Kenneth Prag

Claim: The clients allege the investments were unsuitable and misrepresented by the representative. Client also alleges the firm failed to supervise the activities of the representative.

Disposition Date: 03/5/2012

Monetary Compensation: \$19,000.00

Mr. Notman's Contribution Amount: \$ 0

The firm, solely to compromise and settle disputed claims, agreed to settle arbitration with the claimant. Mr. Notman was dismissed with prejudice from the case.

Customer Name: Prem and Harbhajan Nagra

Claim: The clients allege the representative sold unsuitable investments and the firm failed to supervise the sale of the these investments. Also alleges the firm failed to conduct reasonable due diligence on the investment programs.

Disposition Date: 02/03/2012

Monetary Compensation: \$442,494.00

Mr. Notman's Contribution Amount: \$ 0

The firm, solely to compromise and settle disputed claims, agreed to settle arbitration with the claimant. Mr. Notman was dismissed with prejudice from the case.

Customer Name: Elwin and Terry Studebacher  
Claim: The clients allege breach of fiduciary duty, misrepresentation and negligence.  
Disposition Date: 03/04/2011  
Monetary Compensation: \$175,000.00  
Mr. Notman's Contribution Amount: \$ 0  
Mr. Notman was dismissed with prejudice from the case.

Customer Name: Larry and Sandra Wilgenbush/Armando and Martha Uribe  
Claim: The clients allege breach of fiduciary duty, fraud, violation of California Corporate Securities Law of 1968 and negligence.  
Disposition Date: 02/07/2011  
Monetary Compensation: \$140,000.00  
Mr. Notman's Contribution Amount: \$ 0  
Mr. Notman was dismissed with prejudice from the case.

Customer Name: Frank Stempski and Eugene Kiernan  
Claim: The clients allege the representative and firm failed to conduct an adequate due diligence examination of the tenants-in-common property that was sold.  
Disposition Date: 09/04/2009  
Monetary Compensation: \$50,000.00  
Mr. Notman's Contribution Amount: \$ 0  
Without admitting to or conceding liability, the firm agreed to settle the arbitration.  
Mr. Notman was dismissed with prejudice from the case.

Customer Name: Carlisle and Alice Dehner  
Claim: The clients allege the representative did not inform them of 1031 refinance.  
Disposition Date: 03/16/2006  
Monetary Compensation: \$25,000.00  
Mr. Notman's Contribution Amount: \$ 8,333.33  
Mr. Notman and/or Berthel Fisher do not admit any liability or fault whatsoever regarding this 1031 transaction.

Customer Name: Oma Dill  
Claim: The client alleges the representative erroneously prepared forms making the client's grandchildren the beneficiaries instead of the children on an annuity.  
Disposition Date: 10/30/2006  
Monetary Compensation: \$79,000.00  
Mr. Notman's Contribution Amount: \$ 0  
Mr. Notman was dismissed with prejudice from the case.

Customer Name: Diana Riegel  
Claim: The client alleges the representative stated annuity would grow to a particular amount by the end of the year and in five years and that it would have no more expenses.  
Disposition Date: 09/30/2003  
Monetary Compensation: \$76,040.00  
Mr. Notman's Contribution Amount: \$ 0  
Client was within the 30 day free look period and entire amount of premium was returned. Mr. Notman was dismissed with prejudice from the case.

Customer Name: Harold Miller

Claim: The customer alleges the sale of \$3.2 million face value bonds on 02/29/96 was not authorized. Customer did not allege a specific amount of damages.

Disposition Date: 03/20/1996

Monetary Compensation: \$ 25,623.57

Mr. Notman's Contribution Amount: \$ 25,623.57

Dean Witter denies the sale was unauthorized. Without admitting liability or wrongdoing and strictly to avoid the cost of litigation, Dean Witter has agreed to pay \$25,623.57. The customer has agreed to execute a general release. Mr. Notman has agreed to pay the entire settlement. Mr. Notman contends that he received the client's order to sell and that the sale fulfilled the client's express instructions. Furthermore, the client when advised of the sale, did not complain of the sale or claim Notman acted without authority for nearly 3 weeks.

Customer Name: Joanne Hotopp

Claim: Alleges misrepresentations, unsuitability and over-concentration regarding limited partnership purchases totaling \$49,480.00 including 5/29/87 Geodyne 2A- \$15,000 and 01/10/90 Pegasus 2 - \$34,380.

Complaint Received: 01/05/1995

Monetary Compensation: \$20,000.00

Mr. Notman's Contribution Amount: \$ 0

Mr. Notman was dismissed with prejudice from the case.

Customer Name: Ronald and Marilyn Limbaugh, Trustees

Claim: Allegations of misrepresentation, fraud negligence, unsuitability, churning and over-concentration in connection to the purchase of PB Equitec Franklin-Brandywine, Lorimar, PB Energy and Spanos/Genesis. Purchase dates and total damages are unspecified but are believed to be in excess of \$10,000.

Complaint Received: 12/01/1994

Monetary Compensation: \$330,000.00

Mr. Notman's Contribution Amount: \$ 0

Mr. Notman was dismissed with prejudice from the case.

Customer Name: Robert Dawson

Claim: Allegations of misrepresentation and unsuitable investments regarding Geodyne IIG and Pegasus II limited partnerships.

Complaint Received: 11/16/1994

Monetary Compensation: \$70,000.00

Mr. Notman's Contribution Amount: \$ 0

The confidential general release and settlement agreement stated "the parties understand and agree that this is a compromise settlement of doubtful and disputed claims, and that neither the making of this release nor the exchange of any other consideration described above shall be deemed or construed to be an admission of fault or liability of any kind of respondents. Mr. Notman was dismissed with prejudice from the case.

Customer Name: Robert Harmon

Claim: Submitted claim for to the claims resolution process relating to the purchase of limited partnerships in 09/88. No damages were alleged but the approximate amount of actual loss is \$16,040.00

Complaint Received: 10/21/1993

Monetary Compensation: \$27,146.00  
Mr. Notman's Contribution Amount: \$ 0  
Mr. Notman was dismissed with prejudice from the case.

### **Item E**

Mr. Notman does not have a material relationship involving an issuer of a security.