

## **OMEGA WEALTH MANAGEMENT, LLC**

### **Part 2B of Form ADV: *Brochure Supplement***

**March 20, 2012**

**For:**

**Lisa A.K. Kirchenbauer, CFP<sup>®</sup>, RLP<sup>®</sup>**

**Bryan Gasparro, MBA, RLP<sup>®</sup>**

**Debra A. Hanley, CFP<sup>®</sup>**

**This brochure supplement provides information about the above named individual's that supplements the Omega Wealth Management, LLC firm brochure. Please contact Debra Hanley (Debra@Omegawealthmanagement.com) if you did not receive Omega Wealth Management, LLC's brochure or if you have any questions about the contents of this supplement.**

**Additional information about all individuals listed in the Supplement is available of the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

# Lisa A. K. Kirchenbauer, RLP®

## **Item 2. Educational Background and Business Experience**

**Lisa A. K. Kirchenbauer, President**

Year of Birth: 1963

### **Education:**

Ms. Kirchenbauer graduated from Stanford University in 1985 with a Bachelor of Arts (with honors) in International Relations.

### **Professional Designations:**

Certified Financial Planner (CFP)<sup>1</sup>  
Registered Life Planner (RLP)<sup>2</sup>

### **Business Background:**

President of Omega Wealth Management, LLC; 12/2008 to present.

Sole Proprietor of Kirchenbauer Financial Management & Consulting; 03/1999 to 12/2008.

Investment Adviser Representative and Registered Representative of Ameritas Investment Corp. (formerly The Advisor Group, Inc.); 10/2003 to 09/2004.

Investment Adviser Representative and Registered Representative of The Advisor Group, Inc. (formerly Calvert Securities Corp.); 03/1995 to 10/2003.

Investment Adviser Representative and Registered Representative of Calvert Securities Corp.; 04/1987 to 03/1995.

## **Item 3. Disciplinary Information**

Ms. Kirchenbauer does not have any history of disciplinary, regulatory or legal events to disclose.

## **Item 4. Other Business Activities**

OWM may provide non-advisory consulting to clients for separate and typical compensation. OWM may typically spend approximately 5% of their time with these related activities.

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<sup>1</sup> **Certified Financial Planner® (CFP®)** The program is administered by the Certified Financial Planner Board of Standards Inc. Those with the CFP® designation have demonstrated competency in all areas of finance related to financial planning. Candidates complete studies on over 100 topics, including stocks, bonds, taxes, insurance, retirement planning and estate planning. In addition to passing the CFP certification exam, candidates must also complete qualifying work experience and agree to adhere to the CFP Board's code of ethics and professional responsibility and financial planning standards. 30 hours of Continuing Education are required every 2 years to maintain membership in good standing.

<sup>2</sup> **The Registered Life Planner® (RLP®)** This designation is administered by the Kinder Institute of Life Planning that denotes an advisor with advanced training in client relationship skills and holistic financial advice. RLPs learn a structured client interview process that gives them a greater ability to discover a client's values, purpose, and life goals--even those that may be closely-guarded. This allows RLPs to develop financial recommendations and strategies that better serve the client's long-term interests. RLPs must complete a three step curriculum for initial certification followed by biannual CEU requirements to maintain certification. Planners must also adhere to Kinder Institute's code of ethics standards.

Omega Wealth Management, LLC is Ms. Kirchenbauer's primary business.

Lisa Kirchenbauer, President of Omega Wealth Management, LLC also owns and operates Omega Wealth Consulting, LLC. Omega Wealth Consulting offers training, coaching and consulting services to institutions, small businesses and individuals in the areas of business and life planning. In her capacity with Omega Wealth Consulting, Ms. Kirchenbauer will earn separate and distinct compensation as owner and manager.

Ms. Kirchenbauer receives additional and separate compensation and devotes a small portion of her time and efforts to the business of Omega Wealth Consulting, LLC. This presents a conflict of interest to the extent Ms. Kirchenbauer time and efforts are spent on these outside activities. OWM discloses this conflict in Form ADV, this Brochure Supplement and other materials.

Clients should be aware that the receipt of additional compensation by our firm and its associated persons creates a conflict of interest that may impair the objectivity of our firm and these individuals when making advisory recommendations.

### **Item 5. Additional Compensation**

Omega Wealth Management, LLC ("OWM") participates in the Schwab Institutional (SI) services program offered to independent investment advisers by Charles Schwab & Company, Inc., a FINRA registered broker dealer. Clients in need of brokerage and custodial services will have Charles Schwab & Company recommended to them. As part of the SI program, OWM receives benefits that it would not receive if it did not offer investment advice.

While there is no direct linkage between the investment advice given and participation in the SI program, economic benefits are received which would not be received if OWM did not give investment advice to clients. These benefits may include any or all of the following: receipt of duplicate client confirmations and bundled duplicate statements; access to a trading desk serving SI participants exclusively; access to block trading which provides the ability to aggregate securities transactions and then allocate the appropriate shares to client accounts; ability to have investment advisory fees deducted directly from client account; access, for a fee, to an electronic communication network for client order entry and account information; receipt of compliance publications; and access to mutual funds which generally require significantly higher minimum initial investments or are generally available only to institutional investors. The benefits received through participation in the SI program may or may not depend upon the amount of transactions directed to, or amount of assets custodied by, Charles Schwab & Co., Inc.

OWM staff members may also receive compensation in the form of hotel lodging, meals, and marketing/event financial support as part of their relationship with SEI Investment Management Corporation. When part of the SEI Select Advisors Council, OWM receives benefits that it would not receive if it did not recommend SEI's investment management services to OWM's clients. The benefits received through participation in the SEI program may or may not depend upon the amount of transactions directed to, or amount of assets custodied by SEI.

### **Item 6. Supervision**

**Account Reviews:** While the underlying securities within Investment Supervisory Service client accounts at Schwab Institutional and the accounts of clients participating in SEI's Management Programs will be continuously monitored, these accounts will be formally reviewed at least three times a year by the President of OWM, Lisa Kirchenbauer and/or by the OWM Director of Financial Planning. More frequent reviews may be triggered by material changes in variables such as the client's individual circumstances, or the market, economic or political environment.

Life/Wealth Advisory client accounts will be reviewed at least semi-annually by Lisa Kirchenbauer and/or by the Director of Financial Planning.

**Supervisory Reviews:** Lisa Kirchenbauer, President, has overall responsibility for the management of the firm, supervision of the investment professionals and setting business initiatives and strategies. A written OWM Policy and Procedures Manual is maintained which covers Supervisory practices to ensure that all OWM investment advisor personnel adhere to Federal and State regulations.

#### **Item 7. Requirements for State Registered Advisors**

Not Applicable

## **Bryan Gasparro, MBA, RLP®**

#### **Item 2. Educational Background and Business Experience**

**Bryan Gasparro, Director of Financial Planning**

Year of Birth: 1979

##### **Education:**

Mr. Gasparro graduated from San Diego State University in 2007 with an MBA. He also graduated from University of Northern Florida in 2001 with a Bachelor of Business Administration in Finance.

##### **Professional Designations:**

Mr. Gasparro is a Registered Life Planner (RLP®)<sup>1</sup>  
Mr. Gasparro has passed the CFP Exam and is a CFP candidate.

##### **Business Background:**

Director of Financial Planning, Omega Wealth Management, LLC; 2010 to present.  
Mission Support Specialist, Department of Homeland Security; 2008 to 2010.  
Front Office Intern, Major League Baseball; 2007 to 2008.  
Officer, United States Marine Corp.; 2001 to 2005.

#### **Item 3. Disciplinary Information**

Mr. Gasparro does not have any history of disciplinary, regulatory or legal events to disclose.

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Omega Wealth Management, LLC is Mr. Gasparro's primary business.

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Not Applicable

# **Debra A. Hanley, CFP<sup>®</sup>**

## **Item 2. Educational Background and Business Experience**

**Debra A. Hanley, Business Manager and Compliance Officer**

Year of Birth: 1954

### **Education:**

Ms. Hanley graduated from Connecticut College in 1981 with a Bachelor of Arts (with honors) in Economics and Finance

### **Professional Designations:**

Certified Financial Planner (CFP)<sup>3</sup>

### **Business Background:**

Business Manager and Chief Compliance Officer of Omega Wealth Management, LLC, 12/2008 to present.

Financial Planning Associate of Kirchenbauer Financial Management & Consulting, 03/2003 to 12/2008.

Investment Adviser Representative and Registered Representative of Ameritas Investment Corp. (formerly The Advisor Group, Inc.), 10/2003 to 09/2004.

Investment Adviser Representative and Registered Representative of The Advisor Group, Inc., 03/2003 to 10/2003.

Business Management Consultant of Jeff S. White, CFP, 06/2000 to 03/2001.

Registered Representative of Linsco/Private Ledger, 04/2000 to 03/2001.

Unemployed, 01/1999 to 04/2000.

Registered Representative of Salomon Smith Barney, 09/1995 to 12/1998.

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