



**Richard C. Goldman**

*This brochure provides information about Richard C. Goldman and supplements the Rich Goldman Asset Management Form ADV Part 2A. If you have any questions about the contents of this brochure, please do not hesitate to contact us at (480) 471-5456. 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 Mr. Goldman and Rich Goldman Asset Management is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). Rich Goldman Asset Management's CRD number is: 146689.*

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*Registration does not imply a certain level of skill or training.*

## Item 2: Educational Background and Business Experience

**Name:** Richard C. Goldman

**Year of Birth:** 1957

**Education:** Columbia College, BA in American History, 1979

### Work Experience:

*Oct. 2008 - Present:* Rich Goldman Asset Management, LLC (f/k/a InterWealth Management Advisors LLC) - Managing Member

*Sept. 2009 – June 2011:* Mutual Securities Inc. - Registered Representative

*August 2008 – Sept. 2009:* Triad Advisors Inc. – Registered Representative

*Oct. 2004 – August 2008:* Wachovia Securities Financial Network – Financial Advisor

*Dec. 1994 – Oct. 2004:* Salomon Smith Barney Inc. – Registered Representative

### **Item 3: Disciplinary Information**

A customer dispute concerning the trading activities of three Smith Barney Advisors, including Mr. Goldman, between January 1999 and March 2001 was recorded in April of 2004. Smith Barney took full responsibility for its research and resulting client losses. The case was settled for \$14,999.00 paid by Smith Barney. No fine was levied against or paid by Mr. Goldman.

### **Item 4: Other Business Activities**

Not applicable.

### **Item 5: Additional Compensation**

Not applicable.

### **Item 6: Supervision**

Client accounts are reviewed continuously by the Firm and its advisory personnel, Rich Goldman and Philip H. Bervig. Messrs. Goldman and Bervig review clients' accounts with regards to their investment policies and risk tolerance levels.

Reviews may be triggered by material market, economic or political events, or by changes in client's financial situations (such as retirement, termination of employment, physical move, or inheritance).

The Firm nor any of its employees, including Mr. Goldman, do not take custody of client accounts at any time. The Custodian maintains client funds at all times.