



Roger L. Johnson

Managing Partner

Mobile phone: 503.720.5195

rjohnson@summaglobal.com

Summa Global Advisors, LLC

02030 SW Military Rd., Portland, OR 97219

PO Box 69022, Portland, OR 97239

Phone: 503.636.2022

August 8, 2011

This brochure supplement provides information about Roger L. Johnson that supplements the Summa Global Advisors, LLC brochure. You should have received a copy of that brochure. Please contact Summa Global Advisor's office manager, Jessie Kline, if you did not receive Summa Global Advisor's brochure or if you have any questions about the contents of this supplement.

Additional information about Roger L. Johnson is available on the SEC's website at www.adviserinfo.sec.gov.



Roger L. Johnson

Managing Partner

BORN 1943

Roger Johnson is the founder of our firm, the principal owner, and the Managing Member. With over forty years of experience in the world of investing, he brings a wealth of wisdom and inspiration to our investment process.

EDUCATION AND BACKGROUND

Roger is a Distinguished Military Graduate from Gonzaga University where he graduated with a BA in Psychology in 1966.

Prior to founding Summa Global, Roger was employed as a Principal and Wealth Manager at Coldstream Capital Management, Inc. from 2005 to 2008. Before that, from 1993 to 2005, he was employed as a President and Portfolio Manager at Western Pacific Investment Advisers, Inc.

DISCIPLINARY INFORMATION

Roger Johnson does not have any legal or disciplinary events to disclose.

OTHER BUSINESS ACTIVITIES

Outside of his relationship with Summa Global Advisors, Roger L. Johnson also maintains an investor referral agreement with Chinus Asset Management. According to these agreements, he receives an ongoing fee for each referred account which invests through Chinus Asset Management into their Chinus Fund, LLC, or Indus Fund, LLC.

CHINUS ASSET MANAGEMENT AND THEIR FUNDS ARE NOT AFFILIATED WITH, OR ENDORSED BY, SUMMA GLOBAL ADVISORS, LLC.

Please note that any Chinus or Indus accounts will not be handled through Summa Global but through those particular companies.

SUPERVISION

Mr. Johnson, Mr. Yu and Ms. Wakefield coordinate investment advice provided to clients. Ultimately, Mr. Johnson is responsible to supervise the advice given to his clients as well as the suitability of investments chosen for their accounts. This is done on an individual client basis according to the client's financial objectives.



SUMMA GLOBAL ADVISORS, LLC

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Brochure Supplement

RESPONSIBLE PERSON

Rachel Wakefield

Partner

ph: 503.636.2022

rwakefield@summaglobal.com



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Rachel Wakefield

Partner, Portfolio Manager

rwakefield@summaglobal.com

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Summa Global Advisors, LLC, P.O. Box 69022, Portland, OR 97239 • *phone* (503) 636-2022 • *fax* (503) 635-6473
www.summaglobal.com



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Advisor's office manager, Jessie Kline, if you did not receive Summa Global Advisor's brochure or if you have any questions about the contents of this supplement.

Additional information about Rachel Wakefield is available on the SEC's website at www.adviserinfo.sec.gov.



Rachel J. Wakefield, CFA

Partner, Portfolio Manager

BORN 1969

Rachel Wakefield is a partner and portfolio manager at Summa Global Advisors, LLC. She and Roger have been working together since they met at A.G. Edwards in 1991. Her experience in the financial advisor business over the years has included: research, portfolio strategy, compliance, and business and database management. As a key team member for Summa Global Advisors, she is able to utilize her broad investment expertise daily.

EDUCATION AND BACKGROUND

Rachel graduated summa cum laude from Christian Heritage College (now San Diego Christian College) with a B.A. in International Business.

In 2002, she was awarded the Chartered Financial Analyst (CFA¹) designation. She is currently a member of the Portland Society of Financial Analysts and the CFA Institute.

Before joining Summa Global, Rachel was employed as a Research Analyst, by Coldstream Capital Management, from 2005 to 2008. Before that, from 1995-2004, she was employed as a Principal, Compliance Officer, and Portfolio Manager by Western Pacific Investment Advisers, Inc.

DISCIPLINARY INFORMATION

Rachel Wakefield does not have any legal or disciplinary events to disclose.

OTHER BUSINESS ACTIVITIES

Rachel J. Wakefield, CFA, is not engaged in any investment-related businesses outside of Summa Global Advisors, nor does she have any applications pending to register with a broker-dealer or other investment firm. Ms. Wakefield does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.

Rachel J. Wakefield, CFA, does not engage in any other business that provides a substantial source of her income or consumes a substantial portion of her time.

Rachel serves on the Board of Directors for the Damascus Christian Education Foundation.

¹ For more information on the CFA please see page 4.



ADDITIONAL COMPENSATION

Rachel J. Wakefield, CFA, does not receive any additional compensation beyond her salary and bonus for providing advisory services.

SUPERVISION

Mr. Johnson, Mr. Yu and Ms. Wakefield coordinate investment advice provided to clients. Ultimately, Ms. Wakefield is responsible to supervise the advice given to her clients as well as the suitability of investments chosen for their accounts. This is done on an individual client basis according to the client's financial objectives.

RESPONSIBLE PERSON

Roger L. Johnson

Managing Partner

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Charter Financial Advisor (CFA) Statement for SEC Form ADV

The Chartered Financial Analyst (CFA) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

There are currently more than 90,000 CFA charter-holders working in 135 countries. To earn the CFA charter, candidates must: 1) pass three sequential, six-hour examinations; 2) have at least four years of qualified professional investment experience; 3) join CFA Institute as members; and 4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

High Ethical Standards

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charter-holders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

Global Recognition

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA charter-holders—often making the charter a prerequisite for employment.

Additionally, regulatory bodies in 19 countries recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 125 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

Comprehensive and Current Knowledge

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.



The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

To learn more about the CFA charter, visit www.cfainstitute.org.



Henry Yu, CFP®

(Wai Ngan Yu)

Partner, Portfolio Manager

hyu@summaglobal.com

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Additional information about Henry Yu is available on the SEC's website at www.adviserinfo.sec.gov.



Henry Yu, CFP®

Partner, Portfolio Manager

BORN 1980

Henry Yu is a Portfolio Manager at Summa Global Advisors, LLC. His duties include portfolio management, research, financial planning, trading, and client services.

Henry Yu brings international perspectives and insights to our investment management process and a wry wit to our office.

EDUCATION AND BACKGROUND

Henry graduated *cum laude* from Portland State University with a B.A. in Finance and Marketing in 2003. In 2010, Henry completed his Executive Certificate in Financial Planning at the University of Portland.

In 2011, Henry became a CERTIFIED FINANCIAL PLANNER™ Practitioner (CFP®)². He is currently a member of the Financial Planning Association of Oregon & S.W. Washington.

Prior to joining Summa Global in 2009, Henry was employed at Coldstream Capital Management, Inc., from 2005 to 2009, as a Private Client Associate. Before that, from 2004 to 2005, he was employed as a Portfolio Administrator at Western Pacific Investment Advisers, Inc.

DISCIPLINARY INFORMATION:

Henry Yu does not have any legal or disciplinary events to disclose.

OTHER BUSINESS ACTIVITIES

Henry Yu, CFP®, is not engaged in any investment-related businesses outside of Summa Global Advisors, nor does he have any applications pending to register with a broker-dealer or other investment firm. Mr. Yu does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.

Henry Yu, CFP®, does not engage in any other business that provides a substantial source of his income or consumes a substantial portion of his time.

SUPERVISION:

Mr. Johnson, Mr. Yu and Ms. Wakefield coordinate investment advice provided to clients. Ultimately, Mr. Yu is responsible to supervise the advice given to his clients as well as the

² For more information on the CFP® please see page on page 4.



suitability of investments chosen for their accounts. This is done on an individual client basis according to the client's financial objectives.

RESPONSIBLE PERSON

Rachel Wakefield

Partner

ph: 503.636.2022

rwakefield@summaglobal.com



CERTIFIED FINANCIAL PLANNER (CFP®)

STATEMENT FOR SEC FORM ADV

The CFP® certification 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.