

**ITEM 1: COVER PAGE FOR  
PART 2B OF FORM ADV:  
BROCHURE SUPPLEMENT  
MARCH 2012**

**STEVEN WOLFF  
("STEVE WOLFF")**

**WOLFF WIESE MAGANA LLC  
DBA  
WOLFF WIESE MAGANA  
1925 PALOMAR OAKS WAY, SUITE 200  
CARLSBAD, CA 92008**

**PHONE NUMBER: (760) 692-5190**

**FIRM CONTACT: KERRY HARMON, CHIEF COMPLIANCE OFFICER**

**FIRM WEBSITE ADDRESS: [WWW.WWMFINANCIAL.COM](http://WWW.WWMFINANCIAL.COM)**

**This brochure supplement provides information about Steve Wolff that supplements our brochure. You should have received a copy of that brochure. Please contact Kerry Harmon, Chief Compliance Officer, if you did not receive our firm's brochure or if you have any questions about the contents of this supplement.**

**Additional information about Steve Wolff is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 Educational Background and Business Experience

**Steven R. Wolff**

Year of Birth: 1952

### **Educational Background:**

- University of Missouri, Bachelor of Arts in Journalism, 1974

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### **Business Background:**

- Wolff Wiese Magana LLC, Managing Member, 07/2011 to Present
- Purshe Kaplan Sterling Investments, Inc., Registered Representative, 07/2011 to 10/2011
- Morgan Stanley Smith Barney, LLC, Registered Representative, 06/2009 to 07/2011
- Citigroup Global Markets, Inc., Registered Representative, 07/1993 to 06/2009

## Item 3 Disciplinary Information

If there are legal or disciplinary events material to your evaluation of Steve Wolff, we are required to disclose all material facts regarding those events.<sup>1</sup>

We have nothing to disclose in this regard.

## Item 4 Other Business Activities

A. If Steve Wolff is actively engaged in any investment-related business or occupation, including if Steve Wolff is registered, or has an application pending to register, as a broker-dealer, registered representative of a broker-dealer, futures commission merchant ("FCM"), commodity pool operator ("CPO"), commodity trading advisor ("CTA"), or an associated person of an FCM, CPO, or CTA, we are required to disclose this fact and describe the business relationship, if any, between the advisory business and the other business.

1. If a relationship between the advisory business and Steve Wolff's other financial industry activities creates a material conflict of interest with you, the SEC requires us to describe the nature of the conflict and generally how we address it.

We have nothing to disclose in this regard.

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<sup>1</sup> **Note:** Our firm may, under certain circumstances, rebut the presumption that a disciplinary event is material. If an event is immaterial, we are not required to disclose it. When we review a legal or disciplinary event involving Steve Wolff to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of Steve Wolff to the advisory function; (2) the nature of the infraction that led to the disciplinary event; (3) the severity of the disciplinary sanction; and (4) the time elapsed since the date of the disciplinary event. If we conclude that the materiality presumption has been overcome, we prepare and maintain a file memorandum of our determination in our records. We follow SEC rule 204-2(a)(14)(iii) and similar state rules.

2. If Steve Wolff receives commissions, bonuses or other compensation based on the sale of securities or other investment products, including as a broker-dealer or registered representative, and including distribution or service (“trail”) fees from the sale of mutual funds, we have to disclose this fact. If this compensation is not cash, we are required to explain what type of compensation Steve Wolff receives. We must explain that this practice gives Steve Wolff an incentive to recommend investment products based on the compensation received, rather than on your needs.

We have nothing to disclose in this regard.

- B. If Steve Wolff is actively engaged in any business or occupation for compensation not discussed in response to Item 4.A, above, and the other business activity or activities provide a substantial source of Steve Wolff’s income or involve a substantial amount of Steve Wolff’s time, we are required to disclose this fact and must describe the nature of that business. If the other business activities represent less than 10 percent of Steve Wolff’s time and income, we may presume that they are not substantial.

Steve Wolff is a licensed insurance agent through various insurance companies. In such capacity, he may recommend, on a fully disclosed commission basis, the purchase of certain insurance products. While our firm does not sell such insurance products to our investment advisory clients, we permit Mr. Wolff, in his individual capacity as a licensed insurance agent, to sell insurance products to our investment advisory clients. A conflict of interest exists to the extent that Mr. Wolff may recommend the purchase of insurance products where he receives insurance commissions or other additional compensation. He spends approximately ten percent (10%) of his time on these activities.

### **Item 5 Additional Compensation**

If someone who is not a client provides an economic benefit to Steve Wolff for providing advisory services, we are required to generally describe the arrangement. For purposes of this Item, economic benefits include sales awards and other prizes, but do not include Steve Wolff’s regular salary. Any bonus that is based, at least in part, on the number or amount of sales, client referrals, or new accounts should be considered an economic benefit, but other regular bonuses should not.

We have nothing to disclose in this regard.

### **Item 6 Supervision**

We are required to explain how we supervise Steve Wolff, including how we monitor the advice Steve Wolff provides to you. Our firm has to provide the name, title and telephone number of the person responsible for supervising Steve Wolff’s advisory activities on behalf of our firm.

Steve Wolff is the Managing Member of the firm and is supervised by Kerry Harmon, Chief Compliance Officer. He is also bound by our firm’s Code of Ethics.

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**CLIFFORD WIESE**

**WOLFF WIESE MAGANA LLC  
DBA  
WOLFF WIESE MAGANA  
1925 PALOMAR OAKS WAY, SUITE 200  
CARLSBAD, CA 92008**

**PHONE NUMBER: (760) 692-5190**

**FIRM CONTACT: KERRY HARMON, CHIEF COMPLIANCE OFFICER**

**FIRM WEBSITE ADDRESS: [WWW.WWMFINANCIAL.COM](http://WWW.WWMFINANCIAL.COM)**

**This brochure supplement provides information about Clifford Wiese that supplements our brochure. You should have received a copy of that brochure. Please contact Kerry Harmon, Chief Compliance Officer, if you did not receive our firm's brochure or if you have any questions about the contents of this supplement.**

**Additional information about Clifford Wiese is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 Educational Background and Business Experience

**Clifford A. Wiese**

Year of Birth: 1944

### **Educational Background:**

- United States Naval Academy, Bachelor of Science, Mathematics, 1966.

### **Business Background:**

- Wolff Wiese Magana LLC, Managing Member, 07/2011 to Present.
- Purshe Kaplan Sterling Investments, Inc., Registered Representative, 07/2011 to 10/2011.
- Morgan Stanley Smith Barney, LLC, Registered Representative, 06/2009 to 07/2011.
- Citigroup Global Markets, Inc., Registered Representative, 08/1999 to 06/2009.

## Item 3 Disciplinary Information

If there are legal or disciplinary events material to your evaluation of Clifford Wiese, we are required to disclose all material facts regarding those events.<sup>1</sup>

We have nothing to disclose in this regard.

## Item 4 Other Business Activities

A. If Clifford Wiese is actively engaged in any investment-related business or occupation, including if Clifford Wiese is registered, or has an application pending to register, as a broker-dealer, registered representative of a broker-dealer, futures commission merchant ("FCM"), commodity pool operator ("CPO"), commodity trading advisor ("CTA"), or an associated person of an FCM, CPO, or CTA, we are required to disclose this fact and describe the business relationship, if any, between the advisory business and the other business.

1. If a relationship between the advisory business and Clifford Wiese's other financial industry activities creates a material conflict of interest with you, the SEC requires us to describe the nature of the conflict and generally how we address it.

We have nothing to disclose in this regard.

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<sup>1</sup> **Note:** Our firm may, under certain circumstances, rebut the presumption that a disciplinary event is material. If an event is immaterial, we are not required to disclose it. When we review a legal or disciplinary event involving Clifford Wiese to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of Clifford Wiese to the advisory function; (2) the nature of the infraction that led to the disciplinary event; (3) the severity of the disciplinary sanction; and (4) the time elapsed since the date of the disciplinary event. If we conclude that the materiality presumption has been overcome, we prepare and maintain a file memorandum of our determination in our records. We follow SEC rule 204-2(a)(14)(iii) and similar state rules.

2. If Clifford Wiese receives commissions, bonuses or other compensation based on the sale of securities or other investment products, including as a broker-dealer or registered representative, and including distribution or service (“trail”) fees from the sale of mutual funds, we have to disclose this fact. If this compensation is not cash, we are required to explain what type of compensation Clifford Wiese receives. We must explain that this practice gives Clifford Wiese an incentive to recommend investment products based on the compensation received, rather than on your needs.

We have nothing to disclose in this regard.

- B. If Clifford Wiese is actively engaged in any business or occupation for compensation not discussed in response to Item 4.A, above, and the other business activity or activities provide a substantial source of Clifford Wiese’s income or involve a substantial amount of Clifford Wiese’s time, we are required to disclose this fact and must describe the nature of that business. If the other business activities represent less than 10 percent of Clifford Wiese’s time and income, we may presume that they are not substantial.

Clifford Wiese is a licensed insurance agent through various insurance companies. In such capacity, he may recommend, on a fully disclosed commission basis, the purchase of certain insurance products. While our firm does not sell such insurance products to our investment advisory clients, we permit Mr. Wiese, in his individual capacity as a licensed insurance agent, to sell insurance products to our investment advisory clients. A conflict of interest exists to the extent that Mr. Wiese may recommend the purchase of insurance products where he receives insurance commissions or other additional compensation. He spends approximately ten percent (10%) of his time on these activities.

### **Item 5 Additional Compensation**

If someone who is not a client provides an economic benefit to Clifford Wiese for providing advisory services, we are required to generally describe the arrangement. For purposes of this Item, economic benefits include sales awards and other prizes, but do not include Clifford Wiese’s regular salary. Any bonus that is based, at least in part, on the number or amount of sales, client referrals, or new accounts should be considered an economic benefit, but other regular bonuses should not.

We have nothing to disclose in this regard.

### **Item 6 Supervision**

We are required to explain how we supervise Clifford Wiese, including how we monitor the advice Clifford Wiese provides to you. Our firm has to provide the name, title and telephone number of the person responsible for supervising Clifford Wiese’s advisory activities on behalf of our firm.

Clifford Wiese is the Managing Member of the firm and is supervised by Kerry Harmon, Chief Compliance Officer. He is also bound by our firm’s Code of Ethics.

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**CATHERINE MAGANA**

**WOLFF WIESE MAGANA LLC  
DBA  
WOLFF WIESE MAGANA  
1925 PALOMAR OAKS WAY, SUITE 200  
CARLSBAD, CA 92008**

**PHONE NUMBER: (760) 692-5190**

**FIRM CONTACT: KERRY HARMON, CHIEF COMPLIANCE OFFICER**

**FIRM WEBSITE ADDRESS: [WWW.WWMFINANCIAL.COM](http://WWW.WWMFINANCIAL.COM)**

**This brochure supplement provides information about Catherine Magana that supplements our brochure. You should have received a copy of that brochure. Please contact Kerry Harmon, Chief Compliance Officer, if you did not receive our firm's brochure or if you have any questions about the contents of this supplement.**

**Additional information about Catherine Magana is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

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

**Catherine M. Magana**

Year of Birth: 1975

### **Educational Background:**

- California Polytechnic State University, San Luis Obispo, Bachelor of Science in Business Administration, 2001

### **Business Background:**

- Wolff Wiese Magana LLC, Managing Member, 07/2011 to Present
- Purshe Kaplan Sterling Investments, Inc., Registered Representative, 07/2011 to Present
- Morgan Stanley Smith Barney, LLC, Registered Representative, 06/2009 to 07/2011
- Citigroup Global Markets, Inc., Registered Representative, 04/1999 to 06/2009.

## **Item 3 Disciplinary Information**

If there are legal or disciplinary events material to your evaluation of Catherine Magana, we are required to disclose all material facts regarding those events.<sup>1</sup>

We have nothing to disclose in this regard.

## **Item 4 Other Business Activities**

A. If Catherine Magana is actively engaged in any investment-related business or occupation, including if Catherine Magana is registered, or has an application pending to register, as a broker-dealer, registered representative of a broker-dealer, futures commission merchant ("FCM"), commodity pool operator ("CPO"), commodity trading advisor ("CTA"), or an associated person of an FCM, CPO, or CTA, we are required to disclose this fact and describe the business relationship, if any, between the advisory business and the other business.

1. If a relationship between the advisory business and Catherine Magana's other financial industry activities creates a material conflict of interest with you, the SEC requires us to describe the nature of the conflict and generally how we address it.

We have nothing to disclose in this regard.

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<sup>1</sup> **Note:** Our firm may, under certain circumstances, rebut the presumption that a disciplinary event is material. If an event is immaterial, we are not required to disclose it. When we review a legal or disciplinary event involving Catherine Magana to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of Catherine Magana to the advisory function; (2) the nature of the infraction that led to the disciplinary event; (3) the severity of the disciplinary sanction; and (4) the time elapsed since the date of the disciplinary event. If we conclude that the materiality presumption has been overcome, we prepare and maintain a file memorandum of our determination in our records. We follow SEC rule 204-2(a)(14)(iii) and similar state rules.



2. If Catherine Magana receives commissions, bonuses or other compensation based on the sale of securities or other investment products, including as a broker-dealer or registered representative, and including distribution or service (“trail”) fees from the sale of mutual funds, we have to disclose this fact. If this compensation is not cash, we are required to explain what type of compensation Catherine Magana receives. We must explain that this practice gives Catherine Magana an incentive to recommend investment products based on the compensation received, rather than on your needs.

Catherine Magana is a registered representative with Purshe Kaplan Sterling Investments, Inc. (“PKS”), a registered broker-dealer and Member FINRA/SIPC. She may offer securities and receive normal and customary commissions as a result of securities transactions. This presents a conflict of interest to the extent that she recommends that a client invest in a security which results in a commission being paid to her. A conflict of interest may arise as these commissionable securities sales may create an incentive to recommend products based on the compensation that she may earn which may not necessarily be in the best interests of the client.

- B. If Catherine Magana is actively engaged in any business or occupation for compensation not discussed in response to Item 4.A, above, and the other business activity or activities provide a substantial source of Catherine Magana’s income or involve a substantial amount of Catherine Magana’s time, we are required to disclose this fact and must describe the nature of that business. If the other business activities represent less than 10 percent of Catherine Magana’s time and income, we may presume that they are not substantial.

Catherine Magana is a licensed insurance agent through various insurance companies. In such capacity, she may recommend, on a fully disclosed commission basis, the purchase of certain insurance products. While our firm does not sell such insurance products to our investment advisory clients, we permit Ms. Magana, in her individual capacity as a licensed insurance agent, to sell insurance products to our investment advisory clients. A conflict of interest exists to the extent that Ms. Magana may recommend the purchase of insurance products where she receives insurance commissions or other additional compensation. She spends approximately ten percent (10%) of her time on these activities.

## **Item 5 Additional Compensation**

If someone who is not a client provides an economic benefit to Catherine Magana for providing advisory services, we are required to generally describe the arrangement. For purposes of this Item, economic benefits include sales awards and other prizes, but do not include Catherine Magana’s regular salary. Any bonus that is based, at least in part, on the number or amount of sales, client referrals, or new accounts should be considered an economic benefit, but other regular bonuses should not.

We have nothing to disclose in this regard.

## **Item 6 Supervision**

We are required to explain how we supervise Catherine Magana, including how we monitor the advice Catherine Magana provides to you. Our firm has to provide the name, title and telephone number of the person responsible for supervising Catherine Magana's advisory activities on behalf of our firm.

Catherine Magana is the Managing Member of the firm and is supervised by Kerry Harmon, Chief Compliance Officer. She is also bound by our firm's Code of Ethics.

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**KERRY HARMON**

**WOLFF WIESE MAGANA LLC  
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1925 PALOMAR OAKS WAY, SUITE 200  
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## **Item 2 Educational Background and Business Experience**

Kerry A. Harmon

Year of Birth: 1967

Formal Education after high school:

- Columbia College of Business, Certificate in Computerized Accounting, 1990.

Business Background (including an identification of the specific positions held for the preceding five years):

- Wolff Wiese Magana LLC, Chief Compliance Officer, 07/2011 to Present.
- Purshe Kaplan Sterling Investments, Inc., Senior Registered Associate, 07/2011 to Present.
- Morgan Stanley Smith Barney, LLC, Senior Registered Associate, 06/2009 to 07/2011.
- Citigroup Global Markets, Inc., Registered Associate, 09/1999 to 06/2009.

## **Item 3 Disciplinary Information**

If there are legal or disciplinary events material to your evaluation of Kerry Harmon, we are required to disclose all material facts regarding those events.<sup>1</sup>

We have nothing to disclose in this regard.

## **Item 4 Other Business Activities**

A. If Kerry Harmon is actively engaged in any investment-related business or occupation, including if Kerry Harmon is registered, or has an application pending to register, as a broker-dealer, registered representative of a broker-dealer, futures commission merchant (“FCM”), commodity pool operator (“CPO”), commodity trading advisor (“CTA”), or an associated person of an FCM, CPO, or CTA, we are required to disclose this fact and describe the business relationship, if any, between the advisory business and the other business.

1. If a relationship between the advisory business and Kerry Harmon’s other financial industry activities creates a material conflict of interest with you, the SEC requires us to describe the nature of the conflict and generally how we address it.

We have nothing to disclose in this regard.

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<sup>1</sup> **Note:** Our firm may, under certain circumstances, rebut the presumption that a disciplinary event is material. If an event is immaterial, we are not required to disclose it. When we review a legal or disciplinary event involving Kerry Harmon to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of Kerry Harmon to the advisory function; (2) the nature of the infraction that led to the disciplinary event; (3) the severity of the disciplinary sanction; and (4) the time elapsed since the date of the disciplinary event. If we conclude that the materiality presumption has been overcome, we prepare and maintain a file memorandum of our determination in our records. We follow SEC rule 204-2(a)(14)(iii) and similar state rules.

2. If Kerry Harmon receives commissions, bonuses or other compensation based on the sale of securities or other investment products, including as a broker-dealer or registered representative, and including distribution or service (“trail”) fees from the sale of mutual funds, we have to disclose this fact. If this compensation is not cash, we are required to explain what type of compensation Kerry Harmon receives. We must explain that this practice gives Kerry Harmon an incentive to recommend investment products based on the compensation received, rather than on your needs.

Kerry Harmon is a registered representative with Purshe Kaplan Sterling Investments, Inc. (“PKS”), a registered broker-dealer and Member FINRA/SIPC. In her separate capacity as a registered representative she may offer securities and receive normal and customary commissions as a result of securities transactions. This does not present a conflict of interest because she does not offer investment advisory services to our clients.

- B. If Kerry Harmon is actively engaged in any business or occupation for compensation not discussed in response to Item 4.A, above, and the other business activity or activities provide a substantial source of Kerry Harmon’s income or involve a substantial amount of Kerry Harmon’s time, we are required to disclose this fact and must describe the nature of that business. If the other business activities represent less than 10 percent of Kerry Harmon’s time and income, we may presume that they are not substantial.

We have nothing to disclose in this regard.

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

If someone who is not a client provides an economic benefit to Kerry Harmon for providing advisory services, we are required to generally describe the arrangement. For purposes of this Item, economic benefits include sales awards and other prizes, but do not include Kerry Harmon’s regular salary. Any bonus that is based, at least in part, on the number or amount of sales, client referrals, or new accounts should be considered an economic benefit, but other regular bonuses should not.

We have nothing to disclose in this regard.

#### **Item 6            Supervision**

We are required to explain how we supervise Kerry Harmon, including how we monitor the advice Kerry Harmon provides to you. Our firm has to provide the name, title and telephone number of the person responsible for supervising Kerry Harmon’s advisory activities on behalf of our firm.

Kerry Harmon is the Chief Compliance Officer of the firm and is supervised by Steven Wolff, Managing Member. She is also bound by our firm’s Code of Ethics.