

# **Supervised Person Brochure**

Part 2B of Form ADV

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**Brian Clay**

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This brochure provides information about Brian Clay and supplements the Clay Northam Wealth Management, LLC's brochure. Being registered as a registered investment adviser does not imply a certain level of skill or training. You should have received a copy of that brochure. Please contact Brian Clay if you did not receive Clay Northam Wealth Management, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Brian Clay (IARD #4227797) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

January 25, 2012

## Brochure Supplement (Part 2B of Form ADV)

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### Item 2 Education and Business Standards

#### Brian M. Clay

##### Educational Background:

- Year of birth: 1978
- University of California, Los Angeles; BA in Economics; 2000

##### Business Experience:

- Clay Northam Wealth Management, LLC; Managing Member/Investment Advisor Representative; 10/2011 - Present
- Purshe Kaplan Sterling Investments, Inc.; Registered Representative; 10/2011 - Present
- Independent Insurance Agent; 10/2006 - Present
- Linsco/Private Ledger Corp.; Financial Planner; 10/2006 - 10/2011
- Pruco Securities Corporation; Financial Planner; 07/2001 - 10/2006

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### Professional Certifications

Employees have earned certifications and credentials that are required to be explained in further detail.

Certified Financial Planner® (CFP®): The CFP® designation is a voluntary certification issued by the College for Financial Planning Board to use the CFP mark. CFP certification requirements:

- Bachelor's degree from an accredited college or university.
- Completion of the financial planning education requirements set by the CFP Board ([www.cfp.net](http://www.cfp.net)).
- Successful completion of the 10-hour CFP® Certification Exam.
- Three-year qualifying full-time work experience.
- Successfully pass the Candidate Fitness Standards and background check.
- Agree to adhere to the CFP Board's *Standards of Professional Conduct*
- When you achieve your CFP designation, you must renew your certification every year, pay annual certification fee and complete 30 hours of continuing education every two years.

Chartered Mutual Fund Counselor<sup>SM</sup> (CMFC®): The CMFC Program is the only industry-recognized mutual fund designation. It is the result of collaboration between the College for Financial Planning® and the Investment Company Institute ("ICI"). CMFC® certification requirements:

- Successful completion of the program.
- Pass the final examination.
- Comply with the Code of Ethics which includes agreeing to abide by the *Standards of Professional Conduct and Terms and Conditions*.

- When you achieve your CMFC® designation, every two years you must renew your certification, pay biennial renewal fee, reaffirm to abide by the *Standards of Professional Conduct and Terms and Conditions* and complete 16 hours of continuing education every two years.

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### **Item 3 Disciplinary Information**

None to report

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

Brian Clay has financial industry affiliated businesses as a registered representative and an independent insurance agent. Approximately 10% of his time is spent on these activities. From time to time, he offers clients advice or products from those activities. He may receive separate yet typical compensation in the form of commissions for the sale of securities and insurance products.

These practices represent conflicts of interest because it gives Mr. Clay an incentive to recommend products based on the commission amount received. This conflict is mitigated by the fact that Mr. Clay has a fiduciary responsibility to place the best interest of the client first and the clients are not required to purchase any products. Clients have the option to purchase these products through another insurance agent or broker/dealer of their choosing.

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### **Item 5 Additional Compensation**

Member Brian Clay receives commission from the sale of securities and insurance, but does not receive any performance based fees.

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### **Item 6 Supervision**

Brian Clay is supervised by Darren Northam. Mr. Northam reviews Brian's work through frequent interactions, review of personal accounts, as well as remote interactions. Mr. Clay is required to read, understand and comply with the Firm's Compliance Policies and Procedures.

Darren Clay's contact information: Phone: 562-799-5547 or by email at [dnortham@claynortham.com](mailto:dnortham@claynortham.com)

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

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None