

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

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**DATED: OCTOBER 8, 2012**

**ANDREI JIGALIN**

**ALPHA WEALTH MANAGEMENT AND PLANNING LLC**



**350 IGNACIO BLVD SUITE 105  
NOVATO, CA 94949  
(415) 506-4569**

**This brochure supplement provides information about Andrei Jigalin that supplements our ADV Part 2A brochure. You should have received a copy of that brochure. Please contact Andrei Jigalin, Chief Compliance Officer, if you did not receive Alpha Wealth Management and Planning LLC's brochure or if you have any questions about the contents of this supplement.**

**Additional information about Andrei Jigalin is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD#: 2777373.**

## ITEM 2. EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

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### **Andrei Jigalin**

*Year of Birth: 1972*

**Formal Education:** Mr. Jigalin attended Cal Poly State University, San Luis Obispo in 1996 with a Bachelor of Science degree in Business Administration as a Finance Major and having a Economics Minor. He has also successful passed the necessary Firna exams: Series 7 and Series 63.

**Business Background:** Mr. Jigalin serves as Principal and Chief Compliance Officer starting June 2012. Before the establishment of Alpha Wealth Management and Planning LLC, Mr. Jigalin worked for Ameriprise Financial from July 1996 to June 2012 as a Financial Advisor.

Mr. Jigalin also holds a CFP® and CDFA™ professional designation. Below is an explanation of the requirement necessary in order to obtain and maintain these designations.

### **CFP® - Certified Financial Planner™:**

The Certified Financial Planner™, CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It 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. 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.

**Certified Divorce Financial Analyst™:**

The CDFA™ designation is available to individuals who have a minimum of two years' experience as a financial professional, accountant, or matrimonial lawyer.

To earn the designation, the participant must complete a series of self-study course modules and pass an exam for each module. This training qualifies for 32 hours of continuing education for the CFP® Board of Standards, 25 CPE credits for the CPA designation, and 32 PACE credits for ChFCs and CLUs. The American Module Topics are:

- Financial and Legal Issues of Divorce
- Advanced Financial Issues of Divorce
- Tax Issues of Divorce
- Working as a CDFA: Case Studies.

To retain the Certified Divorce Financial Analyst™ designation, a CDFA™ must obtain 20 hours of Continuing Education (CE) every two years (ten of which must be divorce-related), remain in good standing with the IDFA™, and keep his dues current.

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**ITEM 3. DISCIPLINARY INFORMATION**

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If there are legal or disciplinary events material to your evaluation of Andrei Jigalin, we are required to disclose all material facts regarding those events.

Mr. Jigalin has no disciplinary information to disclose.

**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 Andrei Jigalin to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of Andrei Jigalin 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.

#### ITEM 4. OTHER BUSINESS ACTIVITIES

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A. If Andrei Jigalin is actively engaged in any investment-related business or occupation, including if Andrei Jigalin 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 Andrei Jigalin 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 Andrei Jigalin receives. We must explain that this practice gives Andrei Jigalin an incentive to recommend investment products based on the compensation received, rather than on your needs.

Andrei Jigalin is a registered representative of LPL Financial, member FINRA/SIPC. He may offer securities and receive normal and customary commissions as a result of securities transactions. A conflict of interest may arise as these commissionable securities sales may create an incentive to recommend products based on the compensation Andrei Jigalin may earn and may not necessarily be in the best interests of the client. Clients are under no obligation to purchase security products from Andrei Jigalin.

B. If Andrei Jigalin 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 Andrei Jigalin's income or involve a substantial amount of Andrei Jigalin'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 Andrei Jigalin's time and income, we may presume that they are not substantial.

Andrei Jigalin is a licensed insurance agent. As such, he may have an incentive to sell and recommend insurance products to Alpha Wealth Management and Planning LLC clients. When such recommendations or sales are made, a conflict of interest exists as Andrei Jigalin may earn insurance commissions for the sale of those products, which may create an incentive to recommend such products. Clients are under no obligation to purchase insurance products from Andrei Jigalin.

## **ITEM 5. ADDITIONAL COMPENSATION**

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If someone who is not a client provides an economic benefit to Andrei Jigalin 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 Andrei Jigalin'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.

Mr. Jigalin does not receive any additional compensation for advisory services.

## **ITEM 6. SUPERVISION**

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

Matthew Fannin, Principal, supervises and monitors Andrei Jigalin's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Matthew Fannin if you have any questions about Andrei Jigalin's brochure supplement at 707.524.7523.

## **ITEM 7. REQUIREMENTS FOR STATE-REGISTERED ADVISERS**

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In addition to Item 3 of this ADV Part 2B Brochure, Andrei Jigalin has not been involved in any arbitration claim, civil, self-regulatory organization, or administrative proceeding, or filed bankruptcy.

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

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**DATED: OCTOBER 8, 2012**

**MATTHEW J. FANNIN**

**ALPHA WEALTH MANAGEMENT AND PLANNING LLC**



**110 STONY POINT ROAD, SUITE 260  
SANTA ROSA, CA 95401  
(707) 524-7523**

**Firm Contact: Andrei Jigalin, Principal & CCO  
Firm Website: [www.alphawmp.com](http://www.alphawmp.com)**

**This brochure supplement provides information about Matt Fannin that supplements our ADV Part 2A Firm Brochure. You should have received a copy of that brochure. Please contact Andrei Jigalin, Chief Compliance Officer, if you did not receive Alpha Wealth Management and Planning LLC's brochure or if you have any questions about the contents of this supplement.**

**Additional information about Matt Fannin is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD#: 3166145.**

## **ITEM 2. EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE**

### **Matthew ("Matt") J. Fannin**

*Year of Birth: 1971*

**Formal Education:** Mr. Fannin attended the University of Phoenix in 2002, graduating with a Bachelors degree in Business Management. He has also successful passed the necessary Finra exams: Series 7 and Series 66.

**Business Background:** Mr. Fannin serves as Principal of Alpha Wealth Management and Planning LLC beginning July 2012. Before his employment at Alpha Wealth Management and Planning LLC, Mr. Fannin worked as a financial advisor and franchise owner for Fannin & Associates, a financial advisor practice of Ameriprise Financial, Inc. from December 1998 to July 2012.

Mr. Fannin also holds a CFP®, ChFC®, and QKA professional designations. Below is an explanation of the requirement necessary in order to obtain and maintain these designations.

**Certified Financial Planner (CFP®)** – Candidates must pass a CFP-board registered program or hold one of seven advanced degrees, designations or professional licenses and pass the CFP exam. Prerequisites include a bachelor's degree (or higher) from an accredited college or university and three years of full-time personal financial planning experience. Thirty hours of continuing education must be completed every two years. Areas of study include insurance and estate planning, employee benefit and tax planning, as well as investment and retirement planning. CFP practitioners are also subject to strict adherence to the CFP Board's Financial Planning Practice Standards and Professional Code of Ethics and Responsibility.

**Chartered Financial Consultant (ChFC)** - This designation is obtained by completing 6 core, 2 elective courses and a final exam for each course. As a prerequisite the IAR must have 3 years of full time business experience within the 5 years preceding the awarding of the designation. This designation requires 30 hours of continuing education every 2 years covering various financial topics including: Financial Planning, Fundamentals of Insurance Planning, Income Taxation, Planning for Retirement Needs, and more.

**Qualified 401(k) Administrator (QKA)** – This designation is for professional's specializing in retirement planning and specifically 401k planning. Applicants for the QKA credentials typically assist employers and consultants with the recordkeeping, non-discrimination testing and the administrative aspects of 401(k) and related defined contribution plans. Earning a QKA credential requires successful completion of 4 American Society of Pension Professionals & Actuaries (ASPPA) exams, a minimum of two years experience in retirement plan related matters, and 40 hours of Continuing Professional Education in a two-year-cycle.

### ITEM 3. DISCIPLINARY INFORMATION

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If there are legal or disciplinary events material to your evaluation of Matt Fannin, we are required to disclose all material facts regarding those events.

Mr. Fannin has no disciplinary information to disclose.

**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 Matt Fannin to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of Matt Fannin 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.

### ITEM 4. OTHER BUSINESS ACTIVITIES

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A. If Matt Fannin is actively engaged in any investment-related business or occupation, including if Matt Fannin 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 Matt Fannin 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 Matt Fannin receives. We must explain that this practice gives Matt Fannin an incentive to recommend investment products based on the compensation received, rather than on your needs.

Matt Fannin is a registered representative of LPL Financial, member FINRA/SIPC. He may offer securities and receive normal and customary commissions as a result of securities transactions. A conflict of interest may arise as these commissionable securities sales may create an incentive to recommend products based on the compensation Matt Fannin may earn and may not necessarily be in the best interests of the client. Clients are under no obligation to purchase security products from Matt Fannin.



- B. If Matt Fannin 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 Matt Fannin's income or involve a substantial amount of Matt Fannin'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 Matt Fannin's time and income, we may presume that they are not substantial.

Matt Fannin is a licensed insurance agent. As such, he may have an incentive to sell and recommend insurance products to Alpha Wealth Management and Planning LLC clients. When such recommendations or sales are made, a conflict of interest exists as Matt Fannin may earn insurance commissions for the sale of those products, which may create an incentive to recommend such products. Clients are under no obligation to purchase insurance products from Matt Fannin.

Matt Fannin also serves on the Board of Directors for the Rotary Club of Santa Rosa. He began this position beginning June 2012. This is an unpaid volunteer position for a nonprofit corporation, offering financial assistance to qualified local non-profit organizations whose activities provide benefits solely within the local community. Mr. Fannin spends less than 4 hours per month in this position, none of which occur during trading hours.

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#### **ITEM 5. ADDITIONAL COMPENSATION**

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If someone who is not a client provides an economic benefit to Matt Fannin 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 Matt Fannin'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.

Mr. Fannin does not receive any additional compensation for advisory services.

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#### **ITEM 6. SUPERVISION**

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

Andrei Jigalin, Principal and Chief Compliance Officer, supervises and monitors Matt Fannin's activities on a regular basis. Andrei Jigalin reviews all outgoing correspondence for written financial advice that Matt Fannin provides to his clients. Please contact Andrei Jigalin if you have any questions about Matt Fannin's brochure supplement at (415) 506-4569.

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#### **ITEM 7. REQUIREMENTS FOR STATE-REGISTERED ADVISERS**

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In addition to Item 3 of this ADV Part 2B Brochure, Matt Fannin has not been involved in any arbitration claim, civil, self-regulatory organization, or administrative proceeding, or filed bankruptcy.

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

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**DATED: OCTOBER 8, 2012**

**DWAYNE M. ARAKAKI**

**ALPHA WEALTH MANAGEMENT AND PLANNING LLC**



**110 STONY POINT ROAD, SUITE 260  
SANTA ROSA, CA 95401  
(707) 524-7523**

**Firm Contact: Andrei Jigalin, Principal & CCO  
Firm Website: [www.alphawmp.com](http://www.alphawmp.com)**

**This brochure supplement provides information about Dwayne Arakaki that supplements our ADV Part 2A brochure. You should have received a copy of that brochure. Please contact Andrei Jigalin, Chief Compliance Officer, if you did not receive Alpha Wealth Management and Planning LLC's brochure or if you have any questions about the contents of this supplement.**

**Additional information about Dwayne Arakaki is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD#: 5167463.**

## ITEM 2. EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

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### **Dwayne M. Arakaki**

*Year of Birth: 1960*

Formal Education: University of Hawaii at Manoa – no degree earned

Business Background:

- Alpha Wealth Management & Planning LLC: Investment Adviser Representative: 07/2012 – Present
- LPL Financial: Registered Representative: 07/2012 – Present
- Ameriprise Financial Services Inc: Associate Financial Advisor: 02/2012 – 07/2012
- Signator Investors Inc: Registered Representative: 03/2007 - 02/2012

Licenses, Exams, and Professional Designations:

- Life Insurance - 09/2004
- Accident and Health - 09/2004
- Variable Contracts – Series 6 & 63 - 08/2006
- Series 7 & 65 – 06/2012

## ITEM 3. DISCIPLINARY INFORMATION

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If there are legal or disciplinary events material to your evaluation of Dwayne Arakaki, we are required to disclose all material facts regarding those events.

Mr. Arakaki has no disciplinary information to disclose.

**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 Dwayne Arakaki to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of Dwayne Arakaki 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.

#### ITEM 4. OTHER BUSINESS ACTIVITIES

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- A. If Dwayne Arakaki is actively engaged in any investment-related business or occupation, including if Dwayne Arakaki 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 Dwayne Arakaki 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 Dwayne Arakaki receives. We must explain that this practice gives Dwayne Arakaki an incentive to recommend investment products based on the compensation received, rather than on your needs.

Dwayne Arakaki is a registered representative of LPL Financial, member FINRA/SIPC. He may offer securities and receive normal and customary commissions as a result of securities transactions. A conflict of interest may arise as these commissionable securities sales may create an incentive to recommend products based on the compensation Dwayne Arakaki may earn and may not necessarily be in the best interests of the client. Clients are under no obligation to purchase security products from Dwayne Arakaki.

- B. If Dwayne Arakaki 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 Dwayne Arakaki's income or involve a substantial amount of Dwayne Arakaki'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 Dwayne Arakaki's time and income, we may presume that they are not substantial.

Dwayne Arakaki is a licensed insurance agent. As such, he may have an incentive to sell and recommend insurance products to Alpha Wealth Management and Planning LLC clients. When such recommendations or sales are made, a conflict of interest exists as Dwayne Arakaki may earn insurance commissions for the sale of those products, which may create an incentive to recommend such products. Clients are under no obligation to purchase insurance products from Dwayne Arakaki.

#### ITEM 5. ADDITIONAL COMPENSATION

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If someone who is not a client provides an economic benefit to Dwayne Arakaki 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 Dwayne Arakaki'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.

Dwayne Arakaki does not receive any additional compensation for advisory services.

## **ITEM 6. SUPERVISION**

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

Andrei Jigalin, Principal and Chief Compliance Officer, supervises and monitors Dwayne Arakaki's activities on a regular basis. Andrei Jigalin reviews all outgoing correspondence for written financial advice that Dwayne Arakaki provides to his clients. Please contact Andrei Jigalin if you have any questions about Dwayne Arakaki's brochure supplement at (415) 506-4569.

## **ITEM 7. REQUIREMENTS FOR STATE-REGISTERED ADVISERS**

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In addition to Item 3 of this ADV Part 2B Brochure, Dwayne Arakaki has not been involved in any arbitration claim, civil, self-regulatory organization, or administrative proceeding, or filed bankruptcy.