

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

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**DATED: SEPTEMBER 17, 2012**

**DYLAN BLU MINOR**

**OMEGA FINANCIAL GROUP, LLC  
812 ANACAPA STREET  
SANTA BARBARA, CA 93101**

**FIRM CONTACT:  
BRYAN REINHARD, CHIEF COMPLIANCE OFFICER**

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

**This brochure supplement provides information about Dylan Minor that supplements our ADV Part 2A brochure. You should have received a copy of that brochure. Please contact Bryan W. Reinhard, 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 Dylan Minor is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

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

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### **DYLAN BLU MINOR**

**Year of Birth:** 1972

**Educational Background:**

- 2011; UC Berkeley, PhD Business Economics
- 2009; UC Berkeley, Masters of Science of Business Administration
- 2006; UC Santa Barbara, Bachelors of Arts in Economics and Mathematics

**Business Background:**

- 10/2009 – Present; Omega Financial Group, LLC; Chief Investment Officer/ Chairman
- 02/2002 – 02/2010; Wells Fargo Advisors; Advisor;
- 06/1995 – 02/2002; Morgan Stanley Dean Witter; Advisor

**Licenses, Exams, and Other Professional Designations:**

- 07/2000 – Series 9
- 08/2000 – Series 10
- 07/1999 – CIMA
- 10/1997 – ChFC ®
- 10/1997 – CLU ®
- 08/1995 – Series 7
- 08/1995 – Series 31
- 08/1995 – Series 65
- 06/1992 – Series 6
- 06/1992 – Series 63
- 11/1991 – Life Insurance License

**CIMA - Certified Investment Management Analyst:**

The CIMA certification signifies that an individual has met initial and on-going experience, ethical, education, and examination requirements for investment management consulting, including advanced investment management theory and application. Prerequisites for the CIMA certification are three years of financial services experience and an acceptable regulatory history. To obtain the CIMA certification, candidates must pass an online Qualification Examination, successfully complete a one-week classroom education program provided by a Registered Education Provider at an AACSB accredited university business school, pass an online Certification Examination, and have an acceptable regulatory history as evidenced by FINRA Form U-4 or other regulatory requirements. CIMA designees are required to adhere to IMCA's Code of Professional Responsibility, Standards of Practice, and Rules and Guidelines for Use of the Marks. CIMA designees must report 40 hours of continuing education credits, including two ethics hours, every two years to maintain the certification. The designation is administered through Investment Management Consultants Association (IMCA).

The CIMA certification has earned ANSI® (American National Standards Institute) accreditation under the personnel certification program. The American National Standards Institute, or ANSI, is a private non-profit organization that facilitates standardization and conformity assessment activities in the United States. CIMA is the first financial services credential to meet this international standard for personnel certification.

**ChFC® - Chartered Financial Consultant:**

Mr. Minor has a professional designation, Chartered Financial Consultant. The ChFC® is offered by The American College. To receive the ChFC® designation, you must successfully complete all courses in your selected program, meet experience requirements and ethics standards, and agree to comply with The American College Code of Ethics and Procedures. Prerequisites include three years of full-time business experience and an undergraduate or graduate degree. ChFC@s must obtain recertification every two years by completing 30 hours of continuing education. The following topics are covered under the program: Financial Planning: Process and Environment, Income Taxation, Planning for Retirement Needs, Investments, Fundamentals of Estate Planning, Financial Planning Applications, The Financial System in the Economy, Estate Planning Applications, Executive Compensation, and Financial Decisions for Retirement.

**CLU® - Chartered Life Underwriter:**

Mr. Minor has a professional designation, Chartered Life Underwriter. The CLU® is offered by The American College. To receive the CLU® designation, you must successfully complete all courses in your selected program, meet experience requirements and ethics standards, and agree to comply with The American College Code of Ethics and Procedures. Prerequisites include three years of full-time business experience and an undergraduate or graduate degree. CLU@s must obtain recertification every two years by completing 30 hours of continuing education. The following topics were covered under the program: Fundamentals of Insurance Planning, Individual Life Insurance, Life Insurance Law, Fundamentals of Estate Planning, Planning for Business Owners and Professionals, Financial Planning: Process and Environment, Individual Health Insurance, Income Taxation, Group Benefits, Planning for Retirement Needs, Investments, and Estate Planning.

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**ITEM 3. DISCIPLINARY INFORMATION**

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

Dylan Minor does not have disciplinary events 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 Mr. Minor to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of Mr. Minor 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 Mr. Minor is actively engaged in any investment-related business or occupation, including if Mr. Minor 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.

Dylan Minor does not participate in any outside investment-related business or occupation. All investment-related business is done through Omega Financial Group, LLC.

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

Mr. Minor is a Professor of Managerial Economics at Kellogg School of Management, Northwestern University. He spends approximately 50% of his time during trading hours in this other business activity. This presents a conflict of interest to clients as Mr. Minor dedicates a significant amount of time on this activity. This conflict is mitigated as clients are under full discretion to choose an alternate investment adviser representative to manage their accounts.

#### ITEM 5. ADDITIONAL COMPENSATION

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If someone who is not a client provides an economic benefit to Mr. Minor 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 Mr. Minor'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.

Dylan Minor does not receive any additional compensation or economic benefits for advisory services provided to Omega Financial Group, LLC's clients.

#### ITEM 6. SUPERVISION

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

Bryan W. Reinhard, Chief Compliance Officer of Omega Financial Group, LLC, supervises and monitors Mr. Minor's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Mr. Reinhard if you have any questions about Mr. Minor's brochure supplement at (805) 560-9030.

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

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In addition to Item 3 of this ADV Part 2B Brochure, Dylan Minor has not been involved in any arbitration claim, civil, self-regulatory organization, or administrative proceeding, or filed bankruptcy. Dylan Minor does not have any material disciplinary events to disclose.

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

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**DATED: SEPTEMBER 17, 2012**

**BRYAN WILLIAM REINHARD**

**OMEGA FINANCIAL GROUP, LLC  
812 ANACAPA STREET  
SANTA BARBARA, CA 93101**

**FIRM CONTACT:  
BRYAN REINHARD, CHIEF COMPLIANCE OFFICER**

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

**This brochure supplement provides information about Mr. Reinhard that supplements our ADV Part 2A brochure. You should have received a copy of that brochure. Please contact Bryan Reinhard, 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 Mr. Reinhard is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

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

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### **BRYAN WILLIAM REINHARD**

**Year of Birth:** 1966

**Educational Background:**

- 1992; St. John's College, Santa Fe, NM; Masters of Arts in Liberal Education
- 1988; Westmont College, Santa Barbara, CA; Bachelors of Arts in English

**Business Background:**

- 06/2012 – Present; Omega Financial Group, LLC; Chief Compliance Officer
- 02/2010 – 06/2012; Wells Fargo Advisors Financial Network; Director and Senior Financial Advisor
- 05/2003 – 02/2010; Wells Fargo Advisors/Wachovia/Prudential Securities; Financial Advisor
- 05/1999 – 05/2003; Morgan Stanley Dean Witter; Financial Advisor

**Licenses, Exams, and Other Professional Designations:**

- 06/2010 – Series 24
- 08/1999 – Series 7
- 08/1999 – Series 66
- 08/1999 – Series 31
- 08/2009 – CLU®
- 02/2007 – ChFC®
- 01/2006 – CFP®
- CA Insurance License #0C77722

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

Candidates must pass a CFP-board registered program or hold one of seven advanced degrees, designations or professional licenses and pass the CFP exam. Current 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.

**ChFC® - Chartered Financial Consultant:**

The ChFC® is offered by The American College. To receive the ChFC® designation, you must successfully complete all courses in your selected program, meet experience requirements and ethics standards, and agree to comply with The American College Code of Ethics and Procedures. Prerequisites include three years of full-time business experience and an undergraduate or graduate degree. ChFC®s must obtain recertification every two years by completing 30 hours of continuing education. The following topics are covered under the program: Financial Planning: Process and Environment, Income Taxation, Planning for Retirement Needs, Investments, Fundamentals of Estate Planning, Financial Planning Applications, The Financial System in the Economy, Estate Planning Applications, Executive Compensation, and Financial Decisions for Retirement.

**CLU® - Chartered Life Underwriter:**

The CLU® is offered by The American College. To receive the CLU® designation, you must successfully complete all courses in your selected program, meet experience requirements and ethics standards, and agree to comply with The American College Code of Ethics and Procedures. Prerequisites include three years of full-time business experience and an undergraduate or graduate degree. CLU@s must obtain recertification every two years by completing 30 hours of continuing education. The following topics were covered under the program: Fundamentals of Insurance Planning, Individual Life Insurance, Life Insurance Law, Fundamentals of Estate Planning, Planning for Business Owners and Professionals, Financial Planning: Process and Environment, Individual Health Insurance, Income Taxation, Group Benefits, Planning for Retirement Needs, Investments, and Estate Planning.

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**ITEM 3. DISCIPLINARY INFORMATION**

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

Bryan Reinhard does not have disciplinary events 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 Mr. Reinhard to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of Mr. Reinhard 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.

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**ITEM 4. OTHER BUSINESS ACTIVITIES**

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A. If Mr. Reinhard is actively engaged in any investment-related business or occupation, including if Mr. Reinhard 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 Mr. Reinhard'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.

Bryan Reinhard is a licensed insurance agent. As such, he may have an incentive to sell and recommend insurance products to clients. When such recommendations or sales are made, a conflict of interest exists as Bryan Reinhard 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 Bryan Reinhard.



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

Bryan Reinhard does not participate in any outside business that is considered substantial to disclose.

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

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If someone who is not a client provides an economic benefit to Mr. Reinhard 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 Mr. Reinhard'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.

Bryan Reinhard does not receive any additional compensation or economic benefits for advisory services provided to Omega Financial Group, LLC's clients.

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

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

Dylan Minor, Principal of Omega Financial Group, LLC, supervises and monitors Mr. Reinhard's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Mr. Dylan Minor if you have any questions about Mr. Reinhard's brochure supplement at (805) 560-9030.

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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, Bryan Reinhard has not been involved in any arbitration claim, civil, self-regulatory organization, or administrative proceeding, or filed bankruptcy. Bryan Reinhard does not have any material disciplinary events to disclose.

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

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**DATED: SEPTEMBER 17, 2012**

**ROBERT ALLEN SCHULTZ**

**OMEGA FINANCIAL GROUP, LLC  
812 ANACAPA STREET  
SANTA BARBARA, CA 93101**

**FIRM CONTACT:  
BRYAN REINHARD, CHIEF COMPLIANCE OFFICER**

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

**This brochure supplement provides information about Mr. Schultz that supplements our ADV Part 2A brochure. You should have received a copy of that brochure. Please contact Bryan W. Reinhard, 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 Mr. Schultz is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

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

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### **ROBERT ALLEN SCHULTZ**

**Year of Birth:** 1970

**Educational Background:**

- 1994; San Jose State University; Bachelors of Science

**Business Background:**

- 07/2012 – Present; Omega Financial Group, LLC; Investment Adviser Representative
- 02/2010 – 07/2012; Wells Fargo FiNet/Omega Financial Group, LLC; Financial Advisor
- 01/2009 – 02/2010; Wachovia/Wells Fargo PCG; Financial Advisor
- 05/2005 – 01/2009; Sanofi-Aventis; Senior Adviser
- 02/1999 – 05/2005; Ampersand Publishing; Account Adviser

**Licenses and Other Professional Designations:**

- 03/2009 – Series 7
- 05/2009 – Series 66
- 12/2009 – Series 31
- 11/2009 – CRPC
- 07/2009 – Resident Insurance Producer

**CRPC - Chartered Retirement Planning Counselor :**

Mr. Schultz has a professional designation, Chartered Retirement Planning Counselor (CRPC). The CRPC is offered by The College for Financial Planning®. The CRPC Program focuses on the pre- and post-retirement needs of individuals, allowing you to transform the retirement planning process into a positive experience. The College for Financial Planning® awards the Chartered Retirement Planning Counselor<sup>SM</sup> and CRPC® designation to students who: successfully complete the program; pass the final examination; and comply with the Code of Ethics.

Successful students receive a certificate and are granted the right to use the designation on correspondence and business cards for a two-year period. Continued use of the CRPC® designation is subject to ongoing renewal requirements. Every two years individuals must renew their right to continue using the CRPC® designation by completing 16 hours of continuing education and reaffirming to abide by the Standards of Professional Conduct. The following topics were covered under the program: The Retirement Planning Process & Meeting Multiple Financial Objectives, Sources of Retirement Income, Personal Savings: Investing for Retirement, Employer-Sponsored Plans, Individual Deferred Compensation, Planning for Incapacity, Disability & Long-Term Care, When to Retire, Retirement Plan Distributions, Asset Management & Investment Strategy During Retirement, Income Taxes & the Retiree, and Estate Planning.

### ITEM 3. DISCIPLINARY INFORMATION

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

Mr. Schultz does not have any disciplinary events 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 Mr. Schultz to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of Mr. Schultz 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 Mr. Schultz is actively engaged in any investment-related business or occupation, including if Mr. Schultz 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 Mr. Schultz'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.

Mr. Schultz is a licensed insurance agent. As such, he may have an incentive to sell and recommend insurance products to clients. When such recommendations or sales are made, a conflict of interest exists as Mr. Schultz 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 Mr. Schultz.

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

Mr. Schultz does not participate in any outside business that is considered substantial to disclose.

## **ITEM 5. ADDITIONAL COMPENSATION**

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If someone who is not a client provides an economic benefit to Mr. Schultz 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 Mr. Schultz'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. Schultz does not receive any additional compensation or economic benefits for advisory services provided to Omega Financial Group, LLC's clients.

## **ITEM 6. SUPERVISION**

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

Bryan Reinhard, Chief Compliance Officer of Omega Financial Group, LLC, supervises and monitors Mr. Schultz's activities on a regular basis. Mr. Reinhard reviews all outgoing correspondence for financial advice that Mr. Schultz provides to his clients. Please contact Mr. Reinhard if you have any questions about Mr. Schultz's brochure supplement at (805) 617-4363.

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

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In addition to Item 3 of this ADV Part 2B Brochure, Mr. Schultz has not been involved in any arbitration claim, civil, self-regulatory organization, or administrative proceeding, or filed bankruptcy. Mr. Schultz does not have any material disciplinary events to disclose.

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

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**DATED: SEPTEMBER 17, 2012**

**BRENNAN JAMES MALONE**

**OMEGA FINANCIAL GROUP, LLC  
812 ANACAPA STREET  
SANTA BARBARA, CA 93101**

**FIRM CONTACT:  
BRYAN REINHARD, CHIEF COMPLIANCE OFFICER**

**FIRM WEBSITE ADDRESS:  
WWW.OMEGAFINGROUP.COM**

**This brochure supplement provides information about Brennan Malone that supplements our ADV Part 2A brochure. You should have received a copy of that brochure. Please contact Bryan Reinhard, 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 Brennan Malone is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

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

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### **BRENNAN JAMES MALONE**

**Year of Birth:** 1983

**Educational Background:**

- 2012; University of California, Santa Barbara; B.A. Business Economics, Minor in Accounting

**Business Background:**

- 02/2010 – Present; Omega Financial Group, LLC; Registered Associate
- 12/2007 – 02/2010; Wells Fargo Advisors/Wachovia Securities; Client Associate
- 01/2003 – 12/2007; Consumer Loyalty Group; Sales Associate/Trainer/Manager
- 01/2002 – 01/2003; Newave Inc.; Sales Associate

**Licenses, Exams, and Other Professional Designations:**

- 07/2010 – Series 7
- 08/2010 – Series 66

## **ITEM 3. DISCIPLINARY INFORMATION**

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

Brennan Malone does not have disciplinary events 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 Brennan Malone to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of Brennan Malone 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 Brennan Malone is actively engaged in any investment-related business or occupation, including if Brennan Malone 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.

Brennan Malone does not participate in any outside investment-related business or occupation. All investment-related business is done through Omega Financial Group, LLC.

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

Brennan Malone does not participate in any outside business that is considered substantial to disclose.

#### ITEM 5. ADDITIONAL COMPENSATION

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If someone who is not a client provides an economic benefit to Brennan Malone 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 Brennan Malone'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.

Brennan Malone does not receive any additional compensation or economic benefits for advisory services provided to Omega Financial Group, LLC's clients.

#### ITEM 6. SUPERVISION

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

Bryan Reinhard, Chief Compliance Officer of Omega Financial Group, LLC, supervises and monitors Brennan Malone's activities on a regular basis. Mr. Reinhard reviews all outgoing correspondence for financial advice that Brennan Malone provides to his clients. Please contact Mr. Reinhard if you have any questions about Brennan Malone's brochure supplement at (805) 617-4363.



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

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In addition to Item 3 of this ADV Part 2B Brochure, Brennan Malone has not been involved in any arbitration claim, civil, self-regulatory organization, or administrative proceeding, or filed bankruptcy. Brennan Malone does not have any material disciplinary events to disclose.