

**Item 1: Cover Page for Part 2B of Form ADV:  
Brochure Supplement  
September 2012**

**Jodi Vleck**

**Beta Wealth Group, Inc.  
16870 West Bernardo Drive, Suite 170  
San Diego, CA 92127**

**Firm Contact:  
Jodi Vleck  
Chief Compliance Officer**

**Firm Website Address:  
[www.betawealthgroup.com](http://www.betawealthgroup.com)**

**This brochure supplement provides information about Ms. Vleck that supplements our brochure. You should have received a copy of that brochure. Please contact Ms. Vleck if you did not receive Beta Wealth Group, Inc.'s brochure or if you have any questions about the contents of this supplement.**

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

## **Item 2: Educational Background & Business Experience**

### **Iodi Trabbic Vleck**

**Year of Birth:** 1975

**Educational Background:**

- 1998: Eastern Michigan University; Bachelors in Secondary Education & Political Science

**Business Background:**

- 12/2009 – Present Beta Wealth Group, Inc; President
- 12/2009 – 09/2012 Raymond James Financial Services; Registered Representative
- 11/2006 – 12/2009 Essex National Securities, Inc
- 05/2003 – 12/2009 Addison Avenue Financial Partners, LLC
- 05/2003 – 11/2006 CUSO Financial Services, L.P
- 04/2001 – 04/2003 WM Financial Services, Inc.

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

- 1999: Series 6 & Series 63
- 2000: Series 7
- 2003: Series 65
- 2010: Series 9 & Series 10
- CA Insurance

## **Item 3: Disciplinary Information**

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

We have nothing to disclose in this regard.

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

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

Ms. Vleck is a licensed insurance agent. She may offer insurance products and receive normal and customary commissions as a result of transactions. This presents a conflict of interest to the extent that she recommends that a client invest in an insurance product which results in a commission being paid to her. A conflict of interest may arise as these

commissionable insurance product sales may create an incentive to recommend products based on the compensation agent and/or our supervised persons may earn and may not necessarily be in the best interests of the client.

2. If Ms. Vleck 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 Ms. Vleck receives. We must explain that this practice gives Ms. Vleck 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 Ms. Vleck 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 Ms. Vleck's income or involve a substantial amount of Ms. Vleck'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 Ms. Vleck'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 Ms. Vleck 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 Ms. Vleck'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 Ms. Vleck, including how we monitor the advice Ms. Vleck provides to you. Our firm has to provide the name, title and telephone number of the person responsible for supervising Ms. Vleck's advisory activities on behalf of our firm.

Ms. Vleck is the sole licensed principal and Chief Compliance Officer. As such, such has no internal supervision placed over her. She is, however, bound by our firm's Code of Ethics.