

**Item 1: Cover Page for Part 2B of Form ADV:  
Brochure Supplement  
September 2013**

**CHRIS M. FRANTZ**

**Catalina Capital Group  
1617 S. Pacific Coast Highway, Suite F  
Redondo Beach, CA 90277**

**Firm Contact:  
Charles Bradley Daniel, Chief Compliance Officer**

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

**This brochure supplement provides information about Chris Frantz that supplements our brochure. You should have received a copy of that brochure. Please contact Mr. Frantz if you did not receive Catalina Capital Group's brochure or if you have any questions about the contents of this supplement.**

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

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

### **Chris M. Frantz**

**Year of Birth:** 1983

#### **Educational Background:**

- 2005; University of Colorado at Boulder – Leeds School of Business; BS, Finance

#### **Business Background:**

- 11/2012 – Present, DW Advisors LLC, Investment Adviser Representative
  - 08/2013 – Present, DW Advisors LLC dba Catalina Capital Group
  - 11/2012 – 08/2013, DW Advisors LLC dba Daniel Wealth Advisors
- 06/2009 – 11/2012, Morgan Stanley Smith Barney, Registered Representative
- 03/2007 – 06/2009, Citigroup Global Markets, Inc., FA Associate
- 05/2005 – 02/2007, Lease Forms, Inc., Sales Manager
- 07/2000 – 05/2005, University of Colorado at Boulder, Student

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

- 2007 – Series 7, 31, 63 & 65

## **Item 3: Disciplinary Information**

If there are legal or disciplinary events material to your evaluation of Mr. Frantz, 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 Mr. Frantz is actively engaged in any investment-related business or occupation, including if Mr. Frantz 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. Frantz’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.

2. If Mr. Frantz 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 Mr. Frantz receives. We must explain that this practice gives Mr. Frantz 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 Mr. Frantz 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. Frantz's income or involve a substantial amount of Mr. Frantz'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. Frantz's time and income, we may presume that they are not substantial.

Mr. Frantz is a Home Loan Mortgage Consultant for Wells Fargo Home Mortgage. In this capacity, he may receive commissions associated with the sale of mortgage products. These services are independent of our advisory services and are governed under a separate engagement agreement. Clients are under no obligation to utilize this service and will not be actively solicited. He spends approximately 25% of his time on these activities.

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

If someone who is not a client provides an economic benefit to Mr. Frantz 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. Frantz'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 Mr. Frantz, including how we monitor the advice Mr. Frantz provides to you. Our firm has to provide the name, title and telephone number of the person responsible for supervising Mr. Frantz's advisory activities on behalf of our firm.

Brad Daniel, Chief Compliance Officer, supervises and monitors Mr. Frantz's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Brad Daniel if you have any questions about Mr. Frantz's brochure supplement at (949)706-1874.