

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

**Winifred (“Winnie”) S. Sun**



**3 Park Plaza, Suite 120  
Irvine, CA 92614**

**Firm Contact:  
Brandon Chang,  
Chief Compliance Officer**

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

**This brochure supplement provides information about Winnie Sun that supplements our Form ADV Part 2A brochure. You should have received a copy of that brochure. Please contact Brandon Chang, Chief Compliance Officer, if you did not receive Sun Group Wealth Partners LLC's brochure or if you have any questions about the contents of this supplement.**

**Additional information about Winnie Sun is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD#: 4034080.**

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

### **Winifred ("Winnie") S. Sun**

**Year of Birth:** 1974

**Educational Background:** 1996: University of California, Los Angeles: B.A. in Political Science

**Business Background:**

- 02/2011 – Present: Sun Group Wealth Partners LLC: C.E.O. and Financial Adviser
- 03/2011 – Present: LPL Financial: Registered Representative
- 03/2011 – 04/2013: Stratos Wealth Partners, Ltd.: Investment Adviser Representative
- 06/2009 – 03/2011: Morgan Stanley Smith Barney: Financial Advisor
- 08/1999 – 06/2009: Citigroup Global Markets, Inc.: Financial Advisor

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

- 10/1999 – Series 7
- 10/1999 – Series 63
- 12/1999 – Series 65

## **Item 3: Disciplinary Information**

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

Winnie Sun does not have disciplinary information deemed material 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 Winnie Sun to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of Winnie Sun 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**

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

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

2. If Winnie Sun 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 Winnie Sun receives. We must explain that this practice gives Winnie Sun an incentive to recommend investment products based on the compensation received, rather than on your needs.

Winnie Sun is a registered representative of LPL Financial, member FINRA/SIPC. She 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 Winnie Sun may earn. This is fully disclosed to Clients and Clients are under no obligation to purchase securities from Winnie Sun.

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

Winnie Sun does not participate in any outside business that is considered substantial to disclose.

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

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

Brandon Chang, Chief Compliance Officer, supervises and monitors Winnie Sun's activities on a regular basis. Brandon Chang reviews all outgoing correspondence for written financial advice that Winnie Sun provides to her clients. Please contact Brandon Chang if you have any questions about Winnie Sun's brochure supplement at 800-213-5888.

### **Item 7: Requirements for State-Registered Advisers**

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

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**Brandon J. Chang**



**3 Park Plaza, Suite 120  
Irvine, CA 92614**

**Firm Contact:  
Brandon Chang,  
Chief Compliance Officer**

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

**This brochure supplement provides information about Brandon Chang that supplements our Form ADV Part 2A brochure. You should have received a copy of that brochure. Please contact Brandon Chang, Chief Compliance Officer, if you did not receive Sun Group Wealth Partners LLC's brochure or if you have any questions about the contents of this supplement.**

**Additional information about Brandon Chang is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD#: 4016977.**

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

### **Brandon J. Chang**

**Year of Birth:** 1976

**Educational Background:** University of California, Los Angeles; B.S.

#### **Business Background:**

- 02/2011 – Present: Sun Group Wealth Partners: Chief Compliance Officer & Financial Adviser
- 03/2011 – Present: LPL Financial: Registered Representative
- 03/2011 – 04/2013: Stratos Wealth Partners, Ltd.: Investment Adviser Representative
- 06/2009 – 03/2011: Morgan Stanley Smith Barney: Financial Advisor
- 01/2001 – 06/2009: Citigroup Global Markets Inc.: Financial Advisor

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

- 10/1999 – Series 7
- 10/1999 – Series 63
- 09/2000 – Series 65
- 04/2010 – Series 31

## **Item 3: Disciplinary Information**

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

Brandon Chang does not have disciplinary information deemed material 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 Brandon Chang to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of Brandon Chang 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**

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

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

2. If Brandon Chang 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 Brandon Chang receives. We must explain that this practice gives Brandon Chang an incentive to recommend investment products based on the compensation received, rather than on your needs.

Brandon Chang 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 Brandon Chang may earn. This is fully disclosed to Clients and Clients are under no obligation to purchase securities from Brandon Chang.

- B. If Brandon Chang 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 Brandon Chang's income or involve a substantial amount of Brandon Chang'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 Brandon Chang'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 Brandon Chang 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 Brandon Chang'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 Brandon Chang, including how we monitor the advice Brandon Chang provides to you. Our firm has to provide the name, title and telephone number of the person responsible for supervising Brandon Chang's advisory activities on behalf of our firm.

Winnie Sun, Founder and Managing Partner, supervises and monitors Brandon Chang's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Winnie Sun if you have any questions about Brandon Chang's brochure supplement at 800-213-5888.

### **Item 7: Requirements for State-Registered Advisers**

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