

**Item 1: Cover Page
Part 2B of Form ADV: Brochure Supplement
March 2014**

Alan Tadashi Kondo



KONDO WEALTH ADVISORS

**300 N. Lake Ave, Suite 920
Pasadena, CA 91101
www.KondoWealthAdvisors.com**

**Firm Contact:
Akemi Dalvi**

This brochure supplement provides information about Alan Kondo that supplements our brochure. You should have received a copy of that brochure. Please contact Ms. Dalvi if you did not receive KWA's brochure or if you have any questions about the contents of this supplement.

Additional information about Alan Kondo is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background & Business Experience

Alan Tadashi Kondo is a specialist in retirement and estate planning. He was born in 1946 in Toronto, Canada. He received his Bachelor of Arts degree from the University of Toronto in 1968, and a Master of Arts degree from Loyola University, Los Angeles in 1971. He joined Transamerica Insurance and Investments in 1984 and served in the Home Office for ten years as Producer in Media and Advertising, creating a variety of award-winning programs. In 1994, he became an agent for Transamerica and achieved "Agent of the Year" for 3 consecutive years at Occidental Universal Financial Services. He received his Series 7 license as General Securities Representative in 1995. He is a recipient of Transamerica's "Leading TFA Producers" award, "Distinguished Pinnacle Club Growth" award, and a 3-time honoree of Transamerica's "Outstanding Advisory Services Achievement" award.

Mr. Kondo is employed as the Managing Member and Investment Advisor for Kondo Wealth Advisors, LLC ("KWA"), a professional wealth management practice located in Pasadena, California. He has worked with KWA since 2001. Mr. Kondo is also employed as a Registered Representative of Purshe Kaplan Sterling Investments, Inc. ("PKS"), a registered broker-dealer and Member FINRA/SIPC. He has worked with PKS since 2011.

Mr. Kondo holds the following professional designations: Chartered Life Underwriter (CLU) awarded in 1998 by American College, and Certified Financial Planner (CFP) awarded in 1999 by the College for Financial Planning.

A veteran community activist, Mr. Kondo was the recipient of the 1994 Steven Tatsukawa Memorial Fund Award, given to individuals committed to advancing the Asian Pacific American community. He served on the voluntary Board of Directors of Visual Communications, and continues to give his time and talent generously to community organizations.

He is a regular columnist in the Japanese American press with his "Retirement Tips" series on pre-retirement and retirement strategies. He conducts free, educational seminars on topics related to investments and retirement planning, and is a featured speaker at many community organizations and churches.

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Mr. Kondo 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. Three years of full-time business experience is required for all Huebner School designations. The three-year period must be within the five years preceding the date of the award. An undergraduate or graduate degree from an accredited educational institution qualifies as one year of business experience. Part-time qualifying business experience is credited toward the three-year requirement on an hourly basis, with 2,000 hours representing the equivalent of one year full-time experience.

The following activities meet the required business experience qualifications included in the CLU® certification process.

Insurance & Health Care:

- Field underwriting and management, including sales and service activities, supervision and management of persons involved in sales or services, or staff support of persons in these activities.
- Company management and operations in positions involving substantial responsibility.
- Financial services and employee benefits
- Client service and related management, including direct contact with clients, supervision and management of persons involved directly in the process of providing financial services or employee benefits, or staff support of persons in these activities.
- Financial institution management and operations in positions involving substantial responsibility.

Other:

- University or college teaching of subjects related to the Huebner School curriculum on a full-time basis at an accredited institution of higher education.
- Government regulatory service in a responsible administrative, supervisory, or operational capacity.
- Activities directly or indirectly related to the protection, accumulation, conservation, or distribution of the economic value of human life; these include the work of actuaries, attorneys, CPAs, investment advisers, real estate investment advisers, stockbrokers, trust officers, or persons in other similar occupations.

All CLU@s who matriculated after June 30, 1989 are subject to the PACE Recertification Program. If you are a CLU@ who falls into any of the following specified categories, you are required to earn 30 hours of CE credit every two years:

- Licensed insurance agent/broker/consultant
- Licensed security representative/registered investment advisor
- Financial consultant, attorney, accountant, employee benefits specialist, and any other individual who provides insurance, employee benefits, financial planning, or estate planning advice and counsel to the public

If you have earned all 30 CE credits through The American College, you do not have to sign and file a statement of compliance. The College will record CE credits you earned at The College and notify you when you have met the requirements.

If you are a CLU@ subject to PACE but do not fall into one of the above categories, you are exempt from the CE requirements. You will be required to notify The College of your exempt status every reporting period, as long as the exemption applies.

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
- Estate Planning

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The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”). The 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. Currently, more than 62,000 individuals have obtained CFP® certification in the United States.

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.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board’s enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

Item 3 Disciplinary Information

There are no legal or disciplinary events material to your evaluation of Mr. Kondo.

Item 4 Other Business Activities

Mr. Kondo is a registered representative with Purshe Kaplan Sterling Investments, Inc. ("PKS"), a registered broker-dealer and Member FINRA/SIPC. KWA is not affiliated with PKS. In order to comply with FINRA Conduct Rule 3040, PKS as an unaffiliated broker-dealer may periodically review the investment advisory transactions of KWA. This information will be viewed by PKS' compliance department personnel for supervisory purposes only. No information viewed will be utilized for purposes of solicitation or shared with any affiliation outside the scope of regulatory compliance.

A conflict of interest may arise as these commissionable securities sales may create an incentive to recommend products incentive to recommend products based on the compensation adviser and/or our supervised persons may earn and may not necessarily be in the best interests of the client. Clients are under no obligation to utilize this service.

Mr. Kondo is also licensed agent of several life, disability and other insurance companies. He is, therefore, able to create a more comprehensive strategy to achieve clients' long term goals. He may recommend insurance products offered by these companies. If the client purchases these products through Mr. Kondo, he will receive normal commissions. Thus, a potential conflict of interest exists between Mr. Kondo's interests and those of his advisory clients. Clients are under no obligation to utilize this service.

Item 5 Additional Compensation

We have nothing to disclose in this regard.

Item 6 Supervision

Mrs. Akemi Dalvi, Chief Compliance Officer of KWA, supervises and monitors Mr. Kondo's activities on a regular basis. Mrs. Dalvi reviews all outgoing correspondence for written financial advice that Mr. Kondo provides to his clients. Please contact Mrs. Dalvi if you have any questions about Mr. Kondo's brochure supplement at 626-449-7783.

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Akemi Kondo Dalvi



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**Firm Contact:
Akemi Dalvi**

This brochure supplement provides information about Mrs. Dalvi that supplements our brochure. You should have received a copy of that brochure. Please contact Mrs. Dalvi if you did not receive KWA's brochure or if you have any questions about the contents of this supplement.

Additional information about Mrs. Akemi Kondo Dalvi is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background & Business Experience

Akemi Kondo Dalvi is a financial advisor in the field of retirement planning and investment management. She was born in 1981 in Los Angeles, California. She received her Bachelor of Science degree from the University of Southern California in 2005 in the field of Accounting.

Mrs. Dalvi worked at PricewaterhouseCoopers ("PwC"), a global professional services firm, from 2005 through 2008 as a Financial Assurance Associate/Senior Associate. She joined Transamerica in 2008. In 2010, Mrs. Dalvi received her Series 7 license as a General Securities Representative and her Series 66 license as an Investment Advisor Representative. Mrs. Dalvi holds the professional designation of Certified Public Accountant ("CPA") awarded in 2008 by the California Board of Accountancy. Mrs. Dalvi is also licensed to sell life insurance and long term care in the state of California.

Mrs. Dalvi is employed as the Chief Compliance Officer and an Investment Advisor for Kondo Wealth Advisors, LLC ("KWA"), a professional wealth management practice located in Pasadena, California. She has worked with KWA since 2008. Ms. Dalvi is also employed as a Registered Representative of Purshe Kaplan Sterling Investments, Inc. ("PKS"), a registered broker-dealer and Member FINRA/SIPC. She has worked with PKS since 2011.

Certified Public Accountant (CPA):

Akemi Kondo Dalvi has a professional designation, Certified Public Accountant. CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two year period or 120 hours over a three year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA's *Code of Professional Conduct* within their state accountancy laws or have created their own.

Item 3 Disciplinary Information

There are no legal or disciplinary events material to your evaluation of Mrs. Dalvi.

Item 4 Other Business Activities

Mrs. Dalvi is a registered representative with PKS, a registered broker-dealer and Member FINRA/SIPC. KWA is not affiliated with PKS. In order to comply with FINRA Conduct Rule 3040, PKS as an unaffiliated broker-dealer may periodically review the investment advisory transactions of KWA. This information will be viewed by PKS' compliance department personnel for supervisory purposes only. No information viewed will be utilized for purposes of solicitation or shared with any affiliation outside the scope of regulatory compliance. A conflict of interest may arise as these commissionable securities sales may create an incentive to recommend products based on the compensation adviser and/or our supervised persons may earn and may not necessarily be in the best interests of the client. Clients are under no obligation to utilize this service.

Mrs. Dalvi is a licensed to sell life insurance and long term care in the state of California. She is therefore able to create a more comprehensive strategy to achieve my clients' long term goals. She may recommend insurance products offered by these companies. If her client purchases these products through her, she receives the normal commission. Thus a potential conflict of interest exists between Mrs. Dalvi's interests and those of her advisory clients. Clients are under no obligation to utilize this service.

Ms. Dalvi is also a non-practicing CPA. She does not solicit clients of KWA for these services.

Item 5 Additional Compensation

We have nothing to disclose in this regard.

Item 6 Supervision

Alan Kondo, Managing Member of KWA, supervises and monitors Mrs. Dalvi's activities on a regular basis. Mr. Kondo reviews all outgoing correspondence for written financial advice that Mrs. Dalvi provides to her clients. Please contact Mr. Kondo if you have any questions about Mrs. Dalvi's brochure supplement at (626) 449-7783.