

Compass International Wealth Management, LLC

CRD 171823

INVESTMENT ADVISER



Brochure Supplement for Christian Mendes
CRD#2618266

May 21, 2014
2690 Weston Rd., Suite 200 - Weston, FL 33331

This brochure provides information about the qualifications and business practices of **Compass International Wealth Management, LLC**. If you have any questions about the contents of this brochure, please contact us at (954) 400.5641 or write to cjmendes1@live.com. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Additional information about **Compass International Wealth Management, LLC** is also available on the SEC's website at www.adviserinfo.sec.gov.

Christian J Mendes

EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Christian Mendes is the founder of Compass International Wealth Management LLC.

Christian is a financial services professional with over 25 years of experience in sales, management and compliance in both brokerage and banking environments. Mr. Mendes held various FINRA and NYSE licenses including the 7, 9/10, 24, 63, 65. Christian is an specialist in offshore investment regulations as it pertains to non-residents investing in the U.S.

PROFESSIONAL EXPERIENCE:

From January 2007, Mr. Mendes has been the lead strategist and owner of Madeira Investments LLC, the publisher of "Trading Options For Income" an options trading and market analysis newsletter. The publication has been on the recommended list for trading clients of OptionsXpress, TD Ameritrade, E-options TradeKing and others. The company provides real time trading alerts to client/subscribers based on a set of proprietary studies developed by Mr. Mendes.

From May 2006 to December 2007 Mr. Mendes was a Senior Vice-President/ Financial Advisor with Wachovia Securities, which he joined with the purpose of growing his existing book of business from Argentina and Brazil and replicating the business structure he created at HSBC.

From May 2001 to May 2006 Mr. Mendes was a Vice President/Financial Advisor/Branch Office Manager for HSBC USA. He started as a financial advisor in 2001 with HSBC and became a branch office manager (BOM) in 2004. As an advisor, Mr. Mendes developed a book of business primarily from Argentina and Brazil. While working as a financial advisor, Mr. Mendes developed a relationship with HSBC Bank Argentina for the referral of their clients who wished to invest in the U.S. This partnership led to his branch being the fastest growing branch in HSBC worldwide and at last count, with well over \$1.2 billion in assets under management / administration. As a producing branch office manager (BOM), Mr. Mendes supervised 14 licensed professionals which included brokers and sales assistants. His responsibilities as a BOM included monitoring the office's daily transaction activities, blotter review, trades approval, suitability reviews and documentation. At HSBC he also licensed a staff of over 60 foreign associates in Argentina.

From May 1999 to May 2001 Mr. Mendes was an AVP / Financial Advisor with UBS Financial in Miami, FL. At UBS, Mr. Mendes worked as a financial advisor managing a book of business from Brazil and Argentina and several other Latin American countries. He grew his portfolio substantially at UBS and developed several referral partnerships in Argentina and Brazil.

From May 1994 to May 1999 Mr. Mendes was a Licensed Personal Banker with Citibank. At Citibank Mr. Mendes started as a licensed personal banker at their South Beach branch and eventually became the financial advisor for the branch. His basic responsibilities were to open and manage client relationships and cross sell investment products such as mutual funds and annuities.

Before starting his career on the financial industry, Mr. Mendes was a Cost Controller for The Continental Group (1994 to 1989). The Continental Company was a local hospitality management company. They managed 8 hotels in South Florida and several more throughout the U.S. and Caribbean. Mr. Mendes' responsibilities were to provide cost control to the Food and Beverage division. That included audit of the outlets, managing inventories as well as the purchasing for food and beverage. He prepared monthly

reports on budgets and cost to revenue ratios to the CFO and also supervised a staff of four auditors and several warehouse employees.

Mr. Mendes is a graduate of Queensborough College (Business) and Strayer University (Economics).

Mr. Mendes is fluent in Portuguese and Spanish.

LICENSES: Active: Series 65, health and variable life insurance
 Inactive: Series 7, 24, 9/10.

DISCIPLINARY INFORMATION

Neither Compass International Wealth Management, LLC nor any employee of the Firm has been subject to any disciplinary actions by the Securities Exchange Commission (SEC) or any other regulatory authority.

To the best of our knowledge, Mr. Christian Mendes, has not been involved in an event that resulted in an award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500; or in a civil, self-regulatory organization, or administrative proceeding involving any of the following events:

- (a) an investment or an investment-related business or activity;
- (b) fraud, false statement(s), or omissions;
- (c) theft, embezzlement, or other wrongful taking of property;
- (d) bribery, forgery, counterfeiting, or extortion; or
- (e) dishonest, unfair, or unethical practices.

You may access Christian J Mendes' regulatory file by following this link to the SEC Investment Adviser Public Disclosure (IAPD)¹ Database:

[http://www.adviserinfo.sec.gov/\(S\(v0s1j0nivr4bef45caxf1155\)\)/IAPD/Content/Search/iapd_Search.aspx](http://www.adviserinfo.sec.gov/(S(v0s1j0nivr4bef45caxf1155))/IAPD/Content/Search/iapd_Search.aspx)

OTHER BUSINESS ACTIVITIES

From January 2007, Mr. Mendes has been the lead strategist and owner of Madeira Investments LLC, the publisher of "Trading Options For Income" an options trading and market analysis newsletter. The publication has been on the recommended list for trading clients of OptionsXpress, TD Ameritrade, E-options Tradeking and others. The company provides real time trading alerts to client/subscribers based on a set of proprietary studies developed by Mr. Mendes.

SUPERVISION

Compass International Wealth Management LLC has adopted a Code of Ethics that sets forth the basic policies of ethical conduct for all managers, officers, and employees of the adviser. In

addition, the Code of Ethics governs personal trading by each employee of Compass International Wealth Management LLC deemed to be an Access Person and is intended to ensure that securities transactions effected by Access Persons of Compass International Wealth Management LLC are conducted in a manner that avoids any actual or potential conflict of interest between such persons and clients of the adviser or its affiliates. Compass International Wealth Management LLC collects and maintains records of securities holdings and securities transactions effected by Access Persons. These records are reviewed to identify and resolve potential conflicts of interest. Compass International Wealth Management LLC maintains a code of ethics and they will provide a copy to any client or prospective client upon request.

Compass International Wealth Management LLC and/or its investment advisory representatives may from time to time purchase or sell products that they may recommend to clients.

The Firm prohibits itself and its associated persons from benefiting from the short-term market effects of transactions for clients. The Firm gives preference to clients trading over itself. Christian Mendes, as the firm's Chief Compliance Officer, reviews all transactions executed by the Firm on a daily basis, and conducts an additional review of all securities transactions by officers and employees quarterly. Clients may contact Mr. Mendes with any questions or concerns regarding their accounts or particular transactions, at (954) 400 5443 or email at cjmendes1@live.com.



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