

**Item 1: Cover Page  
Part 2B of Form ADV: Brochure Supplement  
February 2015**

**Neville Richardson**



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San Francisco, CA 94111  
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**Firm Contact:  
Neville Richardson  
Chief Compliance Officer**

**This brochure supplement provides information about Mr. Richardson that supplements our brochure. You should have received a copy of that brochure. Please contact Mr. Richardson if you did not receive Alpha Private Wealth Advisors LLC's brochure or if you have any questions about the contents of this supplement. Additional information about Mr. Richardson is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2: Educational Background & Business Experience

**Neville E. Richardson, Jr.**

**Year of Birth:** 1971

### **Educational Background:**

- 1999: Howard University; Bachelor of Science in International Business & Finance

### **Business Background:**

- 10/2014 – Present      Alpha Private Wealth Advisors LLC; Managing Member, Chief Compliance Officer & Investment Advisor
- 09/2013 – 10/2014      Southwest Securities, Inc; Vice President & Financial Advisor
- 09/2009 – 09/2013      Bank of America; Investment Advisor
- 07/2005 – 09/2013      Merrill Lynch, Pierce, Fenner & Smith, Inc; Financial Advisor
- 10/2004 – 07/2005      Wells Fargo Investments, LLC; Licensed Banker

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

- 2000: Series 7 Exam
- 2001: Series 24, 55 & 63 Exams
- 2005: Series 66 Exam
- 2011: CA Insurance Licensed - Life, Accident & Health and Variable Contracts (#0E53282)
- 2011: Chartered Retirement Planning Counselor (CRPC®)
- 2012: Chartered Retirement Plans Specialist (CRPS®)
- 2014: Certified Investment Management Analyst (CIMA)

### **Chartered Retirement Planning Counselor**

The CRPC® is offered by The College for Financial Planning®. The CRPC Program focuses on the pre- and post-retirement needs of individuals. Enrollment in the program guides you through the retirement process, addressing issues such as estate planning and asset management. The College for Financial Planning® awards the Chartered Retirement Planning Counselor<sup>SM</sup> and CRPC® designation to students who: successfully complete the program; pass the final examination; and comply with the Code of Ethics, which includes agreeing to abide by the Standards of Professional Conduct promulgated by The College for Financial Planning®.

Applicants must also disclose of any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct. Conferment of the designation is contingent upon the College for Financial Planning's review of matters either self-disclosed or which are discovered by the College that are required to be disclosed. Successful students receive a certificate and are granted the right to use the designation on correspondence and business cards for a two-year period.

Continued use of the CRPC® designation is subject to ongoing renewal requirements. Every two years individuals must renew their right to continue using the CRPC® designation by: completing 16 hours of continuing education and reaffirming to abide by the Standards of Professional Conduct, Terms and Conditions, and self-disclose any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct.

## **Chartered Retirement Plans Specialist**

The CRPS Program is specifically targeted at professionals who design, install, and maintain retirement plans for the business community. Mr. Richardson was awarded by The College for Financial Planning® awards the Chartered Retirement Plans Specialist<sup>SM</sup> (CRPS®) designation by successfully complete the program, pass the final examination; and comply with the Code of Ethics, which includes agreeing to abide by the Standards of Professional Conduct and Terms and Conditions. Conferment of the designation is contingent upon the College for Financial Planning's review of matters either self-disclosed or discovered by the College.

Continued use of the CRPS® designation is subject to ongoing renewal requirements. Every two years individuals must renew their right to continue using the CRPS® designation by: completing 16 hours of continuing education, reaffirming to abide by the Standards of Professional Conduct, Terms and Conditions, and self-disclose any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct.

## **Certified Investment Management Analyst**

The CIMA certification signifies that an individual has met initial and on-going experience, ethical, education, and examination requirements for investment management consulting. Prerequisites for the CIMA certification are three years of financial services experience and an acceptable regulatory history. To obtain the CIMA certification, candidates must pass an online Qualification Examination, successfully complete a one-week classroom education program provided by a Registered Education Provider, pass an online Certification Examination, and have an acceptable regulatory history. CIMA designees are required to adhere to IMCA's *Code of Professional Responsibility, Standards of Practice, and Rules and Guidelines for Use of the Marks*. CIMA designees must report 40 hours of continuing education credits, including two ethics hours, every two years to maintain the certification. The designation is administered through Investment Management Consultants Association (IMCA).

### **Item 3: Disciplinary Information<sup>1</sup>**

There are no legal or disciplinary events material to the evaluation of Mr. Richardson.

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

Mr. Richardson is a licensed insurance agent. He may offer insurance products and receive normal and customary fees as a result of insurance sales. A conflict of interest may arise as these insurance sales may create an incentive to recommend products based on the compensation he may earn.

<sup>1</sup> 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 the advisor to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of advisor 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 5: Additional Compensation**

Mr. Richardson does not receive any other economic benefit for providing advisory services in addition to advisory fees.

### **Item 6: Supervision**

Mr. Richardson is the sole owner and Chief Compliance Officer and as such has no internal supervision placed over him. He is, however, bound by our firm's Code of Ethics.

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

Mr. Richardson has not been involved in any arbitration claim alleging damages in excess of \$2,500. Furthermore, he has neither been involved in nor found liable in any civil, self-regulatory organization, or administrative proceeding nor has been the subject of any bankruptcy petitions.