

MISSION WEALTH™

Your goals. Our mission.

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August 2015

Los Angeles | Westlake Village | Santa Barbara | San Francisco | Denver

This brochure provides information about the qualification and business practices of Mission Wealth Management, LLC (MWM). If you have any questions about the contents of this brochure, please contact Brad Stark at (805) 882-2360. 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 MWM is available on the Internet at www.advisorinfo.sec.gov. Mission Wealth Management, LLC is a Registered Investment Advisor, registered with the United States Securities and Exchange Commission (SEC) under the Investment Advisers Act of 1940. This designation does not imply a certain level of skill or training.

Item 2 - Material Changes

No material changes since our last annual update on March 26, 2014.

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Item 4 - Advisory Business

MWM was established in February, 2000 and has six partners with Seth Streeter and Brad Stark as the majority shareholders with the minority held by Matthew Adams, Geoffrey Gags, Andrew Penso and Dannell Stuart.

General Description of Services:

MWM and its Client Advisors (“CAs”) (those that at minimum have a series 65 license or equivalent), provide a variety of investment advisory services to Clients, including, but not limited to: personalized portfolio management (Investment services) and financial planning (Consulting services).

Investment Services:

We begin by gathering information about the Client’s financial circumstances and goals. We then assist in determining objectives. MWM then makes asset allocation and investment recommendations in accordance with the objectives. Portfolios may include many types of investments including, but not limited to;

- Exchange Traded Funds (ETFs)
- Institutional Mutual Funds
- Dimensional Funds (DFA)
- Multi-Managed Funds
- Common and Preferred Stocks
- Corporate and Government Bonds
- Socially Responsible (SRI)
- Municipal Tax Free Bonds
- Certificate of Deposits (CD’s) and Cash Instruments
- Alternative Investments
 - Sector Funds
 - Hedge Funds (Private and Public)
 - Short Funds
 - Unit Investment Trusts
 - Hedging Strategies
 - Stock Exchange Fund
 - Private Equity
 - Limited Partnerships
- Variable Insurance Contracts
- The above covers both domestic and foreign securities

MWM first analyzes the Client’s financial situation and investment objectives. Services are tailored to the individual needs of clients based upon goals, income needs, risk tolerance and tax status to name a few. Clients may impose restrictions. MWM then determines the most appropriate platform and investments that best match the objectives. Once the Client agrees with the recommendations, MWM implements the portfolio.

MWM never holds client money. MWM will assist the Client to establish individual accounts in their name primarily at Fidelity or Charles Schwab. Additional limited relationships exist at SEI Trust Company and First Mercantile Trust. These custodians hold the Client's funds and complete transactions at the request of MWM on behalf of the Client. See specific paperwork for details regarding the Custodian and the services they offer to the Client.

MWM has discretion on all accounts except on 401(k) plans. MWM generally recommends long-term investment strategies. Short-term investment strategies may be used to accommodate certain circumstances. There is no assurance that a Client's investment objectives will be achieved, and past performance does not guarantee future results.

Client Information:

Services provided depend largely on the information provided by the Client. To provide appropriate recommendations and implementation for the Client, it is very important that the Client provide accurate and complete responses to the questions asked, as well as inform MWM of any changes in the Client's investment objectives and personal circumstances. MWM will periodically send each Client a reminder to notify MWM of any changes. Clients are assigned a Client Advisor ("CA") who is responsible for delivering advisory services, and dealing with matters relating to their accounts.

Consulting Services:

MWM provides consultation services involving the analysis of a particular investment or financial situation. This generally takes the form of a financial plan but may just focus on a topic such as Retirement Planning, Estate and Legacy Planning, College Planning, Cash Flow Analysis, Corporate Benefit Reviews, Seminars, Fiduciary Compliance Work, Expert Witness Reports and/or testimony or Analysis with regard to investment of lump sum distributions from employer pension, profit sharing plans and the like.

In preparing a financial plan for a Client, MWM gathers information through personal interviews and document requests.

Should a Client implement the recommendations contained in the financial plan, MWM suggests that the Client work closely with his or her attorney and/or accountant and share the recommendations. Consulting Services may be charged on an hourly basis, as a flat fee, or a percentage of the fair market value of assets that are subject to the Agreement.

MWM does not participate in wrap fee programs.

Assets under Management as of 12/31/2014:

Discretionary:	\$1,112,800,402
Non-Discretionary:	\$ 2,512,028
Total:	\$1,115,312,429

Item 5 - Fees and Compensation

Investment Advisory Fee subject to a \$1,000,000 minimum account size or \$10,000 per year minimum fee:

First \$2,000,000	1.00%
\$2,000,001 - \$5,000,000	0.85%
\$5,000,001 - \$10,000,000	0.70%
\$10,000,001 – \$20,000,000	0.50%
Over \$20,000,000	As agreed upon

Fees are calculated on the fair market value of the assets in the Client's advisory account at quarter end. Fees are billed for past services and directly debited from clients' custodial accounts on a quarterly basis. For example, fee calculated on 12/31 are for services rendered from 10/1 to 12/31. Clients may pay fees other than those listed that are based on fee schedules in effect prior to their becoming clients of MWM or on fee schedules no longer in effect for new MWM Clients or as agreed upon. Billing is based upon uploaded price files and securities as reported by the custodian. We believe the information to be accurate but we do not guarantee it as transaction posting may be postponed into another time period due to settlement variances (i.e. dividends, specific security transactions). Client can compare the accuracy of MWM reports to the custodial statements.

Client pays for transaction charges, if any, as outlined by each Custodian. Each Client will receive an investment statement that will show the amount of the fees charges for the period. Further information regarding the fees for each Custodian will be furnished upon request. Fee schedules by the custodian are subject to change.

When assets are invested in mutual funds, hedge funds, ETFs, Third Party Managers or the like, Clients will pay both the direct management fee to MWM for its services in connection with these investments and, indirectly, their pro-rata share of the management and other fees of the product or service. A Client may be able to invest directly in the product without incurring the fees charged by MWM. Fee details are found in the prospectus. For assets held at Schwab, Fidelity, or SEI Trust Company, the sole compensation that MWM receives comes via the advisory fee charged to the Client. Clients should note that they are under no obligation to purchase any investment products through MWM. Clients have the option to purchase recommended investments through other brokers or unaffiliated agents at a higher or lower cost.

Mission Wealth Management Project / Consulting Fees:

Quoted on an individual basis depending on the scope of the engagement.

Client may terminate their account without penalty within 5 business days of signing their advisory contract. Refunds are not applicable since advisory fees are billed in arrears. For consulting contracts, a pro-rata refund on unfinished work will be subject to a refund if applicable. Fees are not collected in advance for services exceeding six months.

Item 6 - Performance-Based Fees and Side-By-Side Management

MWM does not accept "performance fees" - that is, fees based on a share of capital gains or on capital appreciation of the assets of a Client. We view performance fees for MWM as a serious conflict of interest in our role.

Item 7 - Types of Clients

MWM generally provides investment advice to affluent individuals/families, pension/profit sharing plans, trusts/estates/charitable organizations, with investible assets of \$1,000,000+.

Item 8 - Methods of Analysis, Investment Strategies and Risk of Loss

MWM offers advice on the following: equity securities (exchange-listed securities, securities traded over-the-counter and foreign issuers), corporate debt securities, certificates of deposit, alternative investments including hedge funds, municipal securities, investment company securities (variable life insurance, variable annuities, mutual fund shares), U.S. government securities, options contracts on securities, MLP's and partnership interests investing in real estate and oil & gas interests, to name a few. MWM may use investments which require the investor to be "accredited".

MWM security analysis methods may include charting, fundamental analysis, technical analysis, 3rd Party analysis, economic and cyclical analysis. MWM may also utilize "demographic" research provided by external third party sources.

Sources of information MWM uses may include Bloomberg, FactSet, financial newspapers and magazines, inspections of corporate activities, research materials prepared by others (3rd Party analysis), corporate ratings services, and company filings including annual reports, prospectuses, SEC filings and press releases.

MWM uses the following investment strategies to implement any investment advice given to clients: long term purchases (securities held at least a year) and short term purchases (securities sold within a year). Additionally, MWM may utilize additional investment strategies which may include but are not limited to: Forward contracts, Collars, Hedge Funds, 40 Act Leverage Products and/or Short Funds.

The risk to any analysis is the data is flawed, assumptions are wrong and the realization that the world is full of surprises. We reduce this risk by using multiple sources of data and diversifying portfolios. In regards to strategy, another risk is (natural disasters, human actions, etc.) the mandated use of historical return, volatility and correlation data that may not materialize the same in the future.

Our primary securities are ETFs, mutual funds and individual securities. For ETFs and mutual funds, the primary risk is market or "systematic" risk. For bonds, the risks are the same with the addition of unsystematic risk (i.e. potential default).

Item 9 - Disciplinary Information

There are no legal or disciplinary events which are material to a client or prospective client's evaluation of MWM's advisory business or the integrity of our management.

There are no administrative proceedings before the SEC, federal regulatory agency, state regulatory agency or any foreign financial regulatory authority involving MWM.

There are no self-regulatory organization (SRO) proceedings against MWM.

Item 10 - Other Financial Industry Activities and Affiliations

MWM and its CAs may also be licensed to sell insurance products (California License #0D35068). Approximately 5% of their time is spent in connection with these activities. Mr. Gags is individually registered with Mutual Securities, Inc., member FINRA/SIPC. The types of securities offered by Mr. Gags are those not available through MWM's preferred platform. Since this may generate customary commissions for him, an incentive to recommend products based on the compensation earned is a potential conflict of interest. To mitigate this potential MWM and its CAs will put the clients' best interest before those of their own.

Item 11 - Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

MWM has a duty of utmost good faith to act solely in the best interests of each of our clients. Clients entrust MWM with their funds, which in turn places a high standard on our conduct and integrity. Our duty compels all employees to act with the utmost integrity in all of our dealings. This duty is the core principle underlying this Code of Ethics and Personal Trading Policy, and represents the expected basis of all of our dealings with our clients.

A complete copy of our Code of Ethics will be provided upon request.

MWM has no material financial interest in the recommended securities presented to clients.

CAs may buy or sell for themselves securities that MWM recommends to clients. Although personal security transactions may be made by CAs for their own account(s) without specific disclosure to the Client, such transactions will not be effected when they are adverse to the Client's interests. All transactions are governed by MWM policies.

Outside of the rebalancing process, employees are expected to purchase or sell a security for their personal accounts only after trading of that same security has been completed in client accounts. Personal accounts of the employee include all accounts for family members living within the employee's household and accounts over which the employee has authority even though the account owner does not live within the same household as the employee.

- a. Any employee contemplating a trade to the contrary must consult with the CCO before conducting his or her personal trade.

- b. It is the employee's responsibility to know which securities are being traded by the firm. The employee may consult with the CCO and CIO to determine whether a security is an appropriate purchase by the employee.

Item 12 - Brokerage Practices

We seek to recommend a custodian/broker who will hold your assets and execute transactions on terms that are overall advantageous. We consider a wide range of factors, including, but not limited to:

- Timeliness of execution
- Timeliness and accuracy of trade confirmations
- Research services provided
- Ability to provide investment ideas
- Execution facilitation services provided
- Record keeping services provided
- Custody services provided
- Frequency and correction of trading errors
- Ability to access a variety of market venues
- Expertise as it relates to specific securities or transactions
- Business reputation
- Good service

With this in consideration, our firm has an arrangement with Fidelity Brokerage Services LLC ("Fidelity"), Charles Schwab & Co., Inc. ("Schwab") and SEI Trust Company (SEI). We participate in the WAS and SAN programs. Please see the disclosure under Item 14 of this Brochure.

Schwab has made available for our use in the management of client accounts in the form of reporting and aggregation, Schwab Performance Technologies, at a reduced cost. As a result of receiving the services, we may have an incentive to continue to use Schwab. Our firm examined this potential conflict of interest when we chose to enter into the relationship and we have determined that the relationship is in the best interest of our firm's clients and satisfies our client obligations, including our duty to seek best execution.

Fidelity and Schwab charge brokerage commissions and transaction fees for effecting certain securities transactions (i.e., transaction fees are charged for certain no-load mutual funds, commissions are charged for individual equity and debt securities transactions). Fidelity and Schwab enable us to obtain many no-load mutual funds without transaction charges and other no-load funds at nominal transaction charges. Fidelity and Schwab's commission rates are generally discounted from customary retail commission rates. However, the commission and transaction fees charged by Fidelity and Schwab may be higher or lower than those charged by other custodians and broker-dealers.

In seeking best execution, the determinative factor is not the lowest possible cost, but whether the transaction represents the best qualitative execution, taking into consideration the full range

of a broker-dealer's services, including the value of research provided, execution capability, commission rates, client/investor service, online access and responsiveness to name a few.

Soft Dollars

Our firm does not accept products or services that do not qualify for Safe Harbor outlined in Section 28(e) of the Securities Exchange Act of 1934, such as those services that do not aid in investment decision-making or trade execution.

Client Brokerage Commissions

We do not acquire client brokerage commissions (or markups or markdowns) and thus do not financially participate in the trades.

Procedures to Direct Client Transactions in Return for Soft Dollars

We do not direct client transactions to a particular broker-dealer in return for soft dollar benefits.

Directed Brokerage

We routinely recommend that a client directs us to execute through a specified broker-dealer. Our firm recommends the use of Schwab, Fidelity and SEI. Each client will be required to establish their account(s) with a recommended custodian if not already done.

Brokerage for Client Referrals

Our firm does not receive brokerage for client referrals.

Prime Brokerage

In certain instances we may determine that it would be in the client's best interest to direct the clients' trades to a specific dealer. When directing trades away from the qualified custodian, we do not receive payouts on mark-ups for such trades in advisory accounts.

We participate in prime brokerage services approved by Schwab and Fidelity and may include fixed income, bonds, equity and other securities trades. The chosen dealer will clear our prime brokerage transactions established in the name of Schwab or Fidelity and designated for our client account holders to the account allocation established at our master account at Schwab or Fidelity.

Pursuant to the prime brokerage services agreement with Schwab and Fidelity, we will transmit to the custodian all the details of each prime brokerage transaction to be cleared for our account, including, but not limited to, the contract amount, the security involved, the number of shares or number of units, and whether the transaction was a long or short sale or a purchase.

Aggregation of Purchase or Sale (Block Trades)

There are occasions where "Block Trades" could take place. This pertains to the same security being purchased or sold on behalf of numerous Clients at the same time. The trade allocation of such a

transaction will be done on a prorate basis, with each participating Client receiving the same price as the others partaking in the transaction so all are treated equally.

Item 13 - Review of Accounts

MWM typically reviews its Client portfolios quarterly for conformity with the respective investment objectives. Financial plans are typically reviewed annually. MWM also examines on a regular basis investment results for a variety of time periods. Reviews are completed by CAs and/or the Investment Department.

Monthly account statements are provided directly by the custodian who reports holdings and activities. Quarterly performance reports are generated as well from MWM on Schwab and Fidelity accounts and by the Custodian Directly for SEI and FMT (First Mercantile Trust 401k Platform) accounts.

Item 14 - Client Referrals and Other Compensation

MWM does not have outside advisers providing investment advice or advisory services to our clients for any economic benefit.

MWM is a member of the Fidelity Wealth Advisor Services (WAS) program whereby MWM's name and business profile may be made available to potential Clients who have requested such information in connection with exploring the possibility of working with an advisor. Fidelity Investments assesses a fee to MWM on referred clients and MWM pays Fidelity this amount as a participation fee for the WAS program. This fee is a flat rate percentage of the value of the assets in the Client's account and is not dependent on any recommendations being made by MWM so that we can maintain our objectivity in our implementation. MWM is required to maintain certain asset levels at Fidelity to participate in this program. MWM examined potential conflict of interests when it chose to enter into the relationship with Fidelity and determined that the relationship is in the best interests of MWM clients. MWM has agreed not to charge Clients referred through the Program fees or costs greater than the fees or costs MWM charges Clients with similar portfolios that were not referred through the Program.

MWM and Fidelity are not affiliated companies.

MWM receives client referrals from Charles Schwab & Co., Inc. through MWM's participation in Schwab Advisor Network ("the Service"). The Service is designed to help investors find an independent investment advisor. Schwab is a broker-dealer independent of and unaffiliated with MWM.

MWM may pay Schwab a Participation Fee on all referred Clients accounts that are maintained in custody at Schwab and Non-Schwab Custody Fee on all accounts that are transferred to another custodian. The Participation Fee paid by MWM is a percentage of the value of the assets in the Client's account. MWM pays Schwab the Participation Fee for so long as the referred Client's account remains in custody at Schwab. The Participation Fee is billed to MWM quarterly and may be increased, decreased or waived by Schwab from time to time. The Participation Fee is paid by MWM and not by the Client. MWM has agreed not to charge Clients referred through

the Service fees or costs greater than the fees or costs MWM charges Clients with similar portfolios that were not referred through the Service.

As part of the participation in the SAN and WAS programs, MWM has an incentive to maintain referred client assets of Schwab at Schwab and referred client assets of Fidelity at Fidelity. This may be perceived as a potential conflict of interest; however, Schwab and Fidelity have been our two preferred custodians for client accounts regardless of source. We entered into custodian relationships with Schwab and Fidelity for our client accounts prior to being asked to join the SAN and WAS programs. The SAN and WAS programs were designed by Schwab and Fidelity in an effort to help their clients connect with a firm such as MWM where our services are thought to be of benefit. MWM maintains a "best execution" responsibility with all our clients, regardless of source. We have reviewed this potential conflict of interest and believe it is in the best interests of clients to participate in the SAN and WAS programs.

From time to time, vendors may sponsor events such as continuing education, economic/investment conferences or speakers series. Vendors may sponsor none, part or all of the costs associated for such events that may include travel, lodging and event content. From time to time, personnel invitations for business entertainment such as a meal, a round of golf, sporting event or a charity event invitation may be extended for example. MWM may pay referral fees to other parties for referrals and if such an affiliation exists, the client will be made aware of the relationship. MWM charges the same fee to clients either referred or not referred regardless of source.

Item 15 - Custody

MWM does not have custody of client assets. Fees paid to MWM are reflected on the Clients' statements received directly from the custodian.

Item 16 - Investment Discretion

MWM has discretionary authority over client accounts. Clients can but rarely impose limitations on authority. If so, it usually pertains to certain securities or industries they don't want to invest in or requesting a conversation prior to a trade.

To assume authority, clients sign the new account form and MWM Assets Advisory Agreement along with custodian account paperwork granting trading authority which can take the form of a Limited Power of Attorney.

Item 17 - Voting Client Securities

MWM does not have the authority to vote client securities.

Item 18 - Financial Information

For Consulting, MWM does not solicit prepayment for services exceeding \$1200 and greater than six months or more in advance.

Form ADV Part 2B Brochure Supplements – Item 1

This portion of our disclosure provides information about the qualification and business practices of supervised person of MWM. If you have any questions about the contents of this brochure, please contact Brad Stark at (805) 882-2360. 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 MWM is also available on the Internet at www.advisorinfo.sec.gov.

Part 2B Item 2 – Educational Background & Business Experience

Seth Mathew Streeter, Partner, Chief Executive Officer

Year of Birth: 1969

Formal Education after High School:

University of California, Santa Barbara (1988 to 1992), Bachelor of Arts in Sociology and Communication with honors.

College of Financial Planning, Denver, CO (1998 to 2001), Masters of Science, Financial Planning.

Professional Designations:

Certified Financial Planner Licensee 10/1995

Certified Estate Advisor 9/2006

Certified Divorce Financial Analyst 10/2007

Business Background:

Mission Wealth Management, LLC, Principal, Co-Founder, President & CA (2/2000 to present)

National Planning Corporation, Registered Representative, Investment Adviser Representative (2/2000 to 9/2013)

Signator Financial Network (formerly John Hancock Financial Services and John Hancock Distributors), Registered Representative (1992 to 2/2000)

Brad Warren Stark, Partner, Chief Operating and Compliance Officer

Year of Birth: 1970

Formal Education after High School:

University of California, Santa Barbara (1988 to 1992), Bachelor of Arts in Business Economics.

College of Financial Planning, Denver, CO (1998 to 2002), Masters of Science, Financial Planning.

Professional Designations:

Certified Financial Planner Licensee 12/1994

Chartered Mutual Fund Counselor 7/1996

Accredited Asset Management Specialist 11/2004

Business Background:

Mission Wealth Management, LLC, Principal, Co-Founder, Chief Compliance Officer & CA (2/2000 to present)

National Planning Corporation, Registered Representative, Investment Adviser Representative (2/2000 to 9/2013)

California State University, Channel Islands, Adjunct Professor (1/2008 to 6/2012)

Signator Financial Network (formerly John Hancock Financial Services and John Hancock Distributors), Registered Representative (1992 to 2/2000)

Matthew William Adams, Partner, Chief Investment Officer

Year of Birth: 1975

Formal Education after High School:

University of California, Santa Barbara (1993 to 1997), Bachelor of Arts in Business Economics.

University of Southern California (2000 to 2003), MBA, Finance

Business Background:

Mission Wealth Management, LLC, Principal and Director of Investments (9/2003 to present).

National Planning Corporation, Registered Representative (1/2005 to 9/2013)

Roxbury Capital Management, Trader (9/2000 to 2/2003)

Dimensional Fund Advisors, Operations Coordinator (4/1999 to 9/2000)

Geoffrey Sutherland Gags, Partner, Client Advisor

Year of Birth: 1971

Formal Education after High School:

Cal State University, Northridge (1992 to 1994), Bachelor of Science in Business Finance.

Santa Barbara City College (1989 to 1992)

College of Financial Planning, Denver, CO (2002 to 2005), Masters of Science, Financial Planning

Professional Designations:

Certified Financial Planner Licensee (1999)

Business Background:

Mission Wealth Management, LLC, Principal, Director of Client Relations & CA (7/2000 to present)

Mutual Securities, Registered Representative (9/2013 to present)

National Planning Corporation, Registered Representative (7/2000 to 9/2013)

Mercer Global Advisors, Associate Consultant (1995 to 2000)

Dannell Stuart, Partner, Director of Business Development

Year of Birth: 1974

Formal Education after High School:

University of California, Santa Barbara (1992 to 1996) Bachelor of Arts in Spanish and Communication Studies

Professional Designations:

Certified Financial Planner Licensee (1999)

Chartered Financial Consultant (2001)

Business Background:

Mission Wealth Management, LLC, Principal Owner, Director of Business Development (6/2010 to present)

National Planning Corporation, Registered Representative, Investment Adviser Representative (6/2010 to 9/2013)

Ameriflex Benefits Corporation, Benefits Consultant (9/1996 to 6/2010)

Securities America, Inc. Registered Representative, Investment Adviser (1/2009 to 6/2010)

Breck & Young Advisors, Inc., Registered Representative (12/1999 to 1/2009)

Andrew Lawrence Penso, Partner, Client Advisor

Year of Birth: 1982

Formal Education after High School:

University of California, Santa Barbara (2000 to 2004), Bachelor of Arts in Business Economics with emphasis in Accounting

College of Financial Planning (2012), Masters of Science, Financial Planning

Professional Designations:

Certified Financial Planner Licensee (2006)

Chartered Advisor in Philanthropy (2008)

Accredited Wealth Management Advisor (2005)

Accredited Asset Management Specialist (2005)

Business Background:

Mission Wealth Management, LLC, Principal Owner, Client Advisor (2/2005 to present).

National Planning Corporation, Registered Representative (12/2005 to 9/2013)

Amanda Thomas, Client Advisor

Year of Birth: 1960

Formal Education after High School:

University of North Carolina, Chapel Hill, NC (1978 to 1982) Bachelors International Studies and Classics.

College for Financial Planning, Denver, CO (2015), Masters of Science, Financial Planning

Professional Designations:

Certified Financial Planner Licensee (2012)

Accredited Wealth Management Advisor (2008)

Certified Divorce Financial Analyst (2008)

Business Background:

Mission Wealth Management, LLC, Client Advisor (5/2006 to present).

National Planning Corporation, Registered Representative (5/2006 to 9/2013)

Sombrilla Management, LLC, Executive Property Manager (7/2005 to 1/2006)

Northern Trust Bank, Vice President – Banking (1/1984 to 7/2005)

Tricia Fahnoe, Client Advisor

Year of Birth: 1971

Formal Education after High School:

Northwestern University, Evanston, IL (1989 to 1993), Bachelor of Arts in Economics

College for Financial Planning, Denver, CO (1998 to 2001), Masters of Science, Financial Planning

Anderson School at UCLA, Los Angeles, CA (2002 to 2005), Masters of Business Administration, Finance

Professional Designations:

Certified Financial Planner Licensee (1996)

Business Background:

Mission Wealth Management, LLC, Client Advisor (8/2011 to present)

Mercer Advisors, Strategic Advisor (9/1997 to 7/2011)

Tyler Robuck, Client Advisor

Year of Birth: 1970

Formal Education after High School:

University of California, Santa Barbara (1991 to 1995), Bachelor of Science

University of Southern California (2001) MBA

Professional Designations:

Certified Financial Planner Licensee (2010)

Business Background:

Mission Wealth Management, LLC, Client Advisor (1/2013 to present).

EP Wealth Advisors, Client Advisor (2/2010 to 1/2013)

Mark Burnett Productions (9/2008 to 11/2009)

Steve S. Caltagirone, Client Advisor

Year of Birth: 1973

Formal Education after High School:

Vanderbilt University (2002) Master of Business Administration, Finance

St. Mary's College (1995) Bachelor of Science, Finance

Certified Financial Planner (2013)

Business Background:

Mission Wealth Management, LLC, Client Advisor (2013 to present)

Elmwood Wealth Management, Inc., Portfolio Manager & Wealth Advisor (2012 to 2013)

Osborne Partners Capital Management, LLC, Portfolio Counselor (2010 to 2012)

Bingham Osborn & Scarborough LLC, Portfolio Manager (2008 to 2009)

Rick D. Gonzalez, Client Advisor

Year of Birth: 1964

Formal Education after High School:

University of California, Berkeley, CA (1989), Bachelor of Arts in Economics

University of Southern California, Los Angeles, CA (2001), MBA

Certified Investment Management AnalystSM CIMA® (2010)

Business Background:

Mission Wealth Management, LLC, Client Advisor (2014 to present)

SEIA, Financial Advisor (2013)

The Glowacki Group, LLC, Investment Manager (2008 to 2013)

Jenna Lauryn Rogers, Client Associate

Year of Birth: 1987

Formal Education after High School:

Porterville College (2005 to 2007) Associates in Business Administration

California State University, Channel Islands (2007 to 2009) Bachelor of Arts in Business Admin

College for Financial Planning, Denver, CO (2014), Masters of Science, Financial Planning

Certified Financial Planner Licensee (2012)

Accredited Wealth Management Advisor (2009)

Accredited Asset Management Specialist (2010)

Business Background:

Mission Wealth Management, LLC, Client Advisor Associate (2009 to present)

National Planning Corporation, Registered Representative (2/2011 to 9/2013)

First National Realty, Broker Price Opinion Specialist (2003 to 2009)

Todd Mons, Client Associate

Year of Birth: 1975

Formal Education after High School:

University of Utah (2004), Bachelor degree in Business Finance

Salt Lake Community College (2000), Associate degree in Business

College for Financial Planning, Masters of Science Financial Planning Candidate, expected completion 02/2016

Professional Designation:

Certified Financial Planner (2014)

Business Background:

Fidelity Investments (FMR CO.) (2008-2014) VP. Sr. Account Executive (2014-2015) Financial Planner (2008-2011)

Fidelity Investments Life Insurance Company (1999-2008), Customer Service (1999-2004), Sales (2004-2006), FILI Director Relationship Manager (2006-2008)

Kieran Osborne, Portfolio Manager

Year of Birth: 1980

Formal Education after High School:

University of Otago, New Zealand (2003), Bachelor of Commerce

University of Otago, New Zealand (2005), Master of Business

Professional Designation:

Chartered Financial Analyst (2010)

Business Background:

Mission Wealth Management, LLC, Portfolio Manager (2/2013 to present)

Merk Investments, Co-Portfolio Manager (1/2009 to 12/2012)

Brook Asset Management, Equity Analyst (10/2006 to 4/2008)

Gregory John Smith, Client Advisor Associate

Year of Birth: 1954

Formal Education after High School:

University of California, Santa Barbara (1972 to 1979), Bachelor of Arts in Mathematics and Accounting

Professional Designations:

Certified Financial Planner Licensee (1998)

Certified Retirement Plan Specialist (2009)

Chartered Financial Consultant (2011)

Business Background:

Mission Wealth Management, LLC, Client Advisor Associate (5/2003 to present)

National Planning Corporation, Registered Representative (5/2003 to 9/2013)

Centaurus Financial, Registered Representative (10/1999 to 9/2002)

Rory Macdonald, Client Advisor Associate

Year of Birth: 1988

Formal Education after High School:

University of California, Santa Barbara (2006 to 2010) Bachelor of Arts in Business Economics

University of California, Santa Barbara (2010 to 2011) Masters of Arts in Economics

Accredited Asset Management Specialist (2012)

Accredited Wealth Management Adviser (2013)

Business Background:

Mission Wealth Management, LLC, Client Advisor Associate (2012 to present)

Merrill Lynch, Summer Intern, 2009, 2010

Jonathan Hale, Research Analyst and Trader

Year of Birth: 1990

Formal Education after High School:

Washington & Lee University (2013), Business/Political Science

Professional Designations:

Chartered Financial Analyst Candidate

Business Background:

Avenir Corporation (2013-2015), Equity Analyst

Julianna Rote, Client Advisor Associate

Year of Birth: 1992

Formal Education after High School:

University of California, Santa Barbara (2014), Economics & Mathematics

Professional Designations:

AAMS (Accredited Asset Management Specialist), 2015

Qualifications of professional designations as follows:

CFP (Certified Financial Planner licensees): In depth graduate level course usually taken over two years that covers the financial planning process (investments, income taxes, insurance, retirement planning, employee benefits, estate and financial plan development) that culminates in a national Certification Examination. Two year industry work history and an undergraduate degree are required.

AAMS (Accredited Asset Management Specialist): Designation program that focuses on the total financial picture (asset management process, risk/return elements, asset allocation, investment strategies, taxation, deferred compensation, key employee benefits, insurance, estate planning, regulatory and ethical standards). Candidate must successfully pass a final examination at the end of the program.

AWMA (Accredited Wealth Management Advisor): Designation program that focuses on preserving, growing and transferring wealth (AAMS topics plus income tax and estate planning for high net worth individuals). Candidate must successfully pass a final examination at the end of the program.

CDFA (Certified Divorce Financial Analyst): Certification program where candidates are required to complete a four step program and exam designed by the IDFA. A two year work history in the financial or legal industry is required.

ChFC (Chartered Financial Consultant): Designation awarded by the American College of Bryn Mawr. The designee must pass exams that cover a broad range of topics (finance, investing, insurance, taxes and estate planning). A three year work experience in the financial industry is required.

CIMA (Certified Investment Management AnalystSM): The CIMA certification program covers five core topic areas and requires that candidates meet all eligibility requirements, including experience, education, examination, and ethics. Applicants must complete five steps in order to earn the certification and complete renewal requirements.

CEA (Certified Estate Advisor): The credentialing program is for financial professionals specializing in estate planning. Candidates must be a CFP, CPA, attorney, hold an insurance license or deal in securities or real estate. The examination process is overseen by the National Association of Financial and Estate Planning (NAFEP).

CFA (Chartered Financial Analyst): The CFA charter is a qualification for finance and investment professionals, particularly in the fields of investment management and financial analysis of stocks, bonds and their derivative assets. To become a charter holder a candidate must have four years of qualified work experience and pass three examinations, each typically held once per year.

CRPS (Certified Retirement Plan Specialist): Designation program that focuses on retirement plans (types, characteristics, defined contribution, defined benefit, nonprofit, plan design, administration, establishment, operation, investment objectives, penalties, termination, fiduciary issues, prohibited transactions and regulatory issues) that culminates with an exam.

CSA (Certified Senior Advisor): A program that focuses on the needs of seniors (aging, family & community, health, mental health, financial literacy, Medicare, Medicaid and Social Security) culminating with an exam.

CMFC (Chartered Mutual Fund Counselor): Designation program that focuses on a thorough knowledge of mutual funds (open, closed end, types, characteristics, risk/return, asset allocation, selection, retirement planning and ethics) that culminates with an exam.

CAP (Chartered Advisor in Philanthropy): A program that focuses on the needs of donors in achieving their highest aspirations for self, family and society. This three course graduate level curriculum focuses on planning impacts in context of family wealth, charitable strategies and gift planning.

Part 2B Item 3 – Disciplinary Information

There are no legal or disciplinary events that are material to your evaluation of our principals, management or Client Advisors (CA).

Part 2B Item 4 – Other Business Activities

The CAs of MWM may also be licensed insurance agents. Approximately 5% of the time of MWM or its CAs is spent in connection with these activities. Mr. Gaggs is individually registered with Mutual Securities, Inc., 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 from these activities as commissionable sales may create an incentive to recommend products based on the compensation they may earn. MWM and its CAs will put the clients' best interest before those of their own.

Part 2B Item 5 – Additional Compensation

We have nothing to disclose in this regard.

Part 2B Item 6 – Supervision

Brad Stark, Chief Compliance Officer, supervises and monitors CAs activities on a regular basis to ensure compliance with MWM's Code of Ethics. Mr. Stark is supervised by co-principal, Seth Streeter. Please contact Brad Stark if you have any questions about MWM's brochure supplement at (805) 882-2360.