

**FORM ADV PART 2B**  
**(Brochure Supplement)**

**Item 1- Cover Page**

**PENG KEN YAP**  
**ALPINE WEALTH MANAGEMENT, LLC**

530 Lytton Ave, Suite 200  
Palo Alto, CA 94301  
(650) 351-7988

September 14, 2015

This brochure supplement provides information about Joel Greenblatt that supplements the Alpine Wealth Management, LLC ("Alpine") (CRD#: 149463) brochure. You should have received a copy of that brochure. Please contact Alpine if you did not receive the brochure or if you have any questions about the contents of this supplement.

**Item 2- Educational Background and Business Experience**

***Peng Ken Yap ( CRD#: 4449461)***

***Managing Member and Chief Compliance Officer***

Year of Birth: 1958

Formal Education after High School:

National Taiwan University, Taiwan, ROC  
B.S. 1981

University of Washington, Seattle, WA 98195  
M.S. 1984

Business Background:

Alpine Wealth Management, LLC – Palo Alto, CA  
Chief Strategist, 2009 – Present

UBS Financial Services – Palo Alto, CA  
Accounts Vice President, 2001 – 2008

Key Prior Experience:

Mr. Yap is the Founder, Managing Member and Chief Compliance Officer of Alpine. He is formally a financial advisor and Account Vice President with UBS from 2001 till 2008. Prior to financial industry, he held several key positions with several companies in Northern California. He holds a B.S. (1981) from National Taiwan University and an MS (1984) from University of Washington.

### **Item 3- Disciplinary Information**

Alpine's Managing Member has NEVER BEEN DISPLINED in any way described as the follows:

A. A criminal or civil action in a domestic, foreign or military court of competent jurisdiction in which the supervised person

1. was convicted of, or pled guilty or nolo contendere ("no contest") to (a) any felony; (b) a misdemeanor that involved investments or an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses;

2. is the named subject of a pending criminal proceeding that involves an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;

3. was found to have been involved in a violation of an investment-related statute or regulation; or

4. was the subject of any order, judgment, or decree permanently or temporarily enjoining, or otherwise limiting, the supervised person from engaging in any investment-related activity, or from violating any investment-related statute, rule, or order.

B. An administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority in which the supervised person

1. was found to have caused an investment-related business to lose its authorization to do business; or

2. was found to have been involved in a violation of an investment-related statute or regulation and was the subject of an order by the agency or authority

(a) denying, suspending, or revoking the authorization of the supervised person to act in an investment-related business;

(b) barring or suspending the supervised person's association with an investment-related business;

(c) otherwise significantly limiting the supervised person's investment-related activities; or

(d) imposing a civil money penalty of more than \$2,500 on the supervised person.

C. A self-regulatory organization (SRO) proceeding in which the supervised person

1. was found to have caused an investment-related business to lose its authorization to do business; or

2. was found to have been involved in a violation of the SRO's rules and was: (i) barred or suspended from membership or from association with other members, or was expelled from membership; (ii) otherwise significantly limited from investment-related activities; or (iii) fined more than \$2,500.

D. Any other hearing or formal adjudication in which a professional attainment, designation, or license of the supervised person was revoked or suspended because of a violation of rules relating to professional conduct.

If the supervised person resigned (or otherwise relinquished the attainment, designation, or license) in anticipation of such a hearing or formal adjudication (and the adviser knows, or should have known, of such resignation or relinquishment), disclose the event.

### **Item 4- Other Business Activities**

Mr. Yap holds a State of California Insurance License.

### **Item 5- Additional Compensation**

Mr. Yap only receives compensation from clients of his books.

He does not receive any economic benefits from non-clients for providing advisory services.

### **Item 6 - Supervision**

Mr. Yap is a principal of the Adviser.

He can be reached at:

530 Lytton Ave #200, Palo Alto, CA 94301

(650) 351-7988.

e-mail: ken.yap@alpinewm.com

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

Alpine's Managing Member HAS NEVER BEEN INVOLVED any of the events listed below:

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
  - (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.
2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
  - (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.
3. Alpine's managing member has never been involved in the subject of any bankruptcy petition.