

MISSION WEALTH[®]

Your goals. Our mission.

Corporate Headquarters
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<https://www.missionwealthmanagement.com>

March 2016

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

This brochure 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:

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, 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:

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, 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:

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, Chief Investment Officer (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:

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, Partner and Client Advisor (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:

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, Partner, Director of Business Development (6/2010 to present)
National Planning Corporation, Registered Representative, Investment Adviser Representative (6/2010 to 9/2013)
Ameriflex Benefits Corporation, Vice President (9/1996 to 6/2010)
Securities America, Inc. Registered Representative, Investment Adviser (1/2009 to 6/2010)
Brecek & Young Advisors, Inc., Registered Representative (12/1999 to 1/2009)

Andrew Lawrence Penso, Partner, Client Advisor

Year of Birth: 1982

Formal Education:

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)
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)

Tricia Fahnoe, Partner, Client Advisor

Year of Birth: 1971

Formal Education:

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)

Amanda Thomas, Client Advisor

Year of Birth: 1960

Formal Education:

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 (1/1994 to 7/2005)

Steve S. Caltagirone, Client Advisor

Year of Birth: 1973

Formal Education:

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:

University of California, Berkeley, CA (1989), Bachelor of Arts in Economics
University of Southern California, Los Angeles, CA (2001), MBA

Professional Designations:

Certified Investment Management AnalystSM CIMA® (2010)
Accredited Wealth Management Advisor (2015)

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 Advisor

Year of Birth: 1987

Formal Education:

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 (2008 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 Advisor

Year of Birth: 1975

Formal Education:

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, Senior Portfolio Manager

Year of Birth: 1980

Formal Education:

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, Senior 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

Year of Birth: 1954

Formal Education:

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

Professional Designations:

Certified Financial Planner Licensee (1998)

Chartered Retirement Plan Specialist (2009)

Chartered Financial Consultant (2011)

Chartered Life Underwriter (2013)

Business Background:

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

National Planning Corporation – Financial Advisor (2002 to 2013)

Centaurus Financial – Financial Advisor (1999 to 2002)

SunAmerica Securities – Financial Advisor (1995-1999)

New York Life – Financial Advisor (1992-1995)

Pacific Capital Resources - commercial loan broker (1989-1992)

Cal Fed Leasing – commercial loans (1984-1989)

Jarabin, Gagg & Hunt, CPAs – income tax accountant/auditor (1980-1984)

Ernst & Young, CPAs – income tax accountant (1979-1980)

Rory Macdonald, Client Advisor

Year of Birth: 1988

Formal Education:

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

Professional Designations:

Accredited Asset Management Specialist (2012)
Accredited Wealth Management Adviser (2013)
Accredited Portfolio Management Advisor (2014)
Certified Financial Planner Licensee (2015)

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:

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:

University of California, Santa Barbara (2013), Economics & Mathematics

Professional Designations:

Accredited Asset Management Specialist (2015)
Accredited Wealth Management Advisor (2015)

Business Background:

Mission Wealth Management (2014)

Davis Edwards, Client Advisor Associate

Year of Birth: 1992

Formal Education:

University of California, Santa Barbara (2015), Economics

Professional Designations:

AAMS® (Accredited Asset Management Specialist), 2015
AWMA® (Accredited Wealth Management AdvisorSM)
CFA Level 2 Candidate

Business Background:

Mission Wealth Management (2015)

Qualifications of Professional Designations as follows:

CFP® (Certified Financial PlannerTM): 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 SpecialistSM): 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 AdvisorSM): 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 AnalystTM): 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® (Chartered Retirement Plan SpecialistSM): 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 CounselorSM): 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.