

Coston and McIsaac Investment Advisers, LLC

Supplement to Firm Brochure

The date of this Supplement and the information in it is February 2, 2018

Patricia Pottle

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This Brochure Supplement provides information about Patricia Pottle that supplements the Coston and McIsaac Investment Advisers, LLC Firm Brochure. You should have received a copy of that Brochure. Please contact Maurice J. McIsaac at (207) 288-2159 if you did not receive the Firm Brochure or if you have any questions about the contents of this Supplement.

Public information about Ms. Pottle is available on the website of the United States Securities and Exchange Commission at:

www.adviserinfo.sec.gov.

ITEM 2 - Educational Background and Business Experience

Patricia Pottle, was born in 1969 and has more than 7 years of investment experience and has been a certified public accountant since 1994. She was an accountant at Union Trust bank in Ellsworth Maine from July 2000 to April 2003. She was an accountant at the University of Maine Foundation in Orono, Maine from April 2003 to December 2006. She was an accountant at Loiselle, Goodwin & Hinds in Bangor from September 1992 to October 2006. She has been a CPA at Coston and McIsaac CPAs in Bar Harbor, Maine from January 2007 to present. Ms. Pottle has been an Investment Advisor Representative with Coston, McIsaac and Partners [INC](#) since July, 2015 and is also employed with Coston and McIsaac Investment Advisers, LLC since January 02, 2007.

Ms. Pottle passed the FINRA state investment adviser representative (Series 65) qualification examination on January 2, 2007. She has an Accounting Degree from Husson College in Bangor Maine 1991.

- **Licensure Requirements for CPAs in Maine:**

- You must have completed at least 150 semester hours of education, including a minimum 4-year baccalaureate or higher degree conferred by a college or university acceptable to the board. The 150 semester hours must include a minimum of 15 hours in the topic areas described in Chapter 5, section 3 of the Board's rules, with a least 3 hours earned in auditing and attestation services.
- You must have completed at least two years of experience under the direction of a CPA licensed by any state or territory of the U.S. or equivalent direction, or by a licensed professional CPA in another country. Work experience must be earned in the employment of a licensed public accounting firm, unless the Board determines nonpublic accounting is substantially equivalent.
- Your work experience must include the use of accounting or auditing skills, including the issuance of reports on financial statements, and at least one of the following: the provision of management advisory, financial advisory or consulting services, the preparation of tax returns, the furnishing of advice on tax matters or equivalent activities defined by the Board.

Successful completion of the CPA exam.

As a CPA she is required to complete 40 hours of Maine Board of Accountancy approved CPE each year including 4 hours of Ethics every third year.

ITEM 3 - Disciplinary Information

There are no legal or disciplinary matters that would be material to the ability of a Client or prospective Client to evaluate Ms. Pottle. In particular, Ms. Pottle has not been subject to any of the types of matters described below in this Section.

A. Criminal or Civil Actions

Ms. Pottle has never been and is not currently involved in a criminal or civil action in a domestic, foreign or military court, in which Ms. Pottle was:

1. convicted of, pled guilty to, pled nolo contendere to or no contest to, any criminal action;
2. named in a criminal action that is currently pending;
3. found in any action to have violated any investment-related statute or regulation; or
4. the subject of any order, judgment or decree permanently or temporarily enjoining, or otherwise limiting, Ms. Pottle from engaging in any investment-related activity, or from violating any investment-related statute, rule, or order.

B. Administrative Proceedings

Ms. Pottle received a complaint through the Department of Financial Regulation Office of Professional and Occupational Regulations for failing to keep confidential tax information from a tax clients family member. This resulted in a warning and a fine of \$500.00.

She has never been and is not currently involved in any of the following activities.

1. found to have caused an investment-related business to lose its authorization to do business; or
2. 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 Ms. Pottle to act in an investment-related business;
 - b. barring or suspending Ms. Pottle from association with an investment-related business;
 - c. otherwise significantly limiting the investment-related activities of Ms. Pottle;
 - d. or imposing a civil money penalty of more than \$2,500 on Ms. Pottle.

C. Action by Self-Regulatory Organizations

Ms. Pottle has not been involved in any proceeding before any self-regulatory organization, such as the Financial Industry Regulatory Authority, in which he was:

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

D. Other Proceedings

In April 2017, Ms. Pottle in an attempt to locate a tax client improperly disclosed that client's tax liability to a relative hoping to impress on them the urgency that she be able to contact the tax client. The Maine Board of Accountancy reprimanded her for this and a consent agreement was reached with a "warning" and a \$500 fine.

Ms. Pottle has not been involved in any other proceeding in which her professional attainment, designation, or license was revoked or suspended because of a violation of rules relating to professional conduct; nor has Ms. Pottle ever resigned or otherwise relinquished her attainment, designation, or license in anticipation of such a proceeding.

ITEM 4 - Other Business Activities

A. Investment Related Activities

As described in Item 2, above, Ms. Pottle currently provides services as a Certified Public Accountant for Coston & McIsaac, CPA'S, an accounting firm based in Bar Harbor, Maine. She is an Investment Adviser Representative at Coston and McIsaac Investment Advisers, LLC which acts as a Solicitor with Morgan Stanley and UBS and is paid for those referrals. Ms. Pottle is also an Investment Adviser Representative at Coston, McIsaac and Partners Inc. a separate and distinct firm where she receives compensation from Coston, McIsaac Partners Inc. for the Advisory services she provides directly to those clients. She devotes her full time to the three entities and allocates her time between the three based on the needs of her clients from time to time. .

B. Other Activities for Compensation

Ms. Pottle does not provide any services for compensation other than those described in Subsection A, above.

ITEM 5 - Additional Compensation

Outside of the compensation earned from her employment at Coston and McIsaac Investment Advisers LLC, and Coston, McIsaac and Partners LLC and Coston and McIsaac CPAs, Ms. Pottle does not receive economic benefit from any other activity.

ITEM 6 - Supervision

Mr. Coston supervises the activities of Ms. Pottle and the services she provides to Clients through CMIA.

ITEM 7 - Requirements for State-Registered Advisers

A. Additional Disciplinary Information

1. Arbitrations

Ms. Pottle has not been involved in an arbitration that resulted in an award against her in excess of \$2,500 or that found him liable in an arbitration claim that alleged damages in excess of \$2,500 involving any of the following:

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

2. Civil, Self-Regulatory or Administrative Actions

Ms. Pottle has not been involved in an action that resulted in an award or otherwise found her liable involving any of the following:

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

B. Bankruptcy

Ms. Pottle has never been the subject of a bankruptcy petition.