



Consolidated Part 2B **Firm Disclosure Brochure Supplement**

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Corporate Headquarters

1111 Chapala Street, 3rd Floor
Santa Barbara, CA 93101
Phone: 805.882.2360
missionwealth.com

This brochure provides information about the qualification and business practices of Mission Wealth management, LP (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, LP, 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.



PART 2B ITEM 2 – EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE

Partner Group (Alphabetical Order)

Matthew William Adams, President, Managing Partner

**Year of Birth:**

1975

Formal Education:

University of Southern California (2003), MBA, Finance

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

Business Background:

Mission Wealth Management, LP (2003 - present)

National Planning Corporation, Registered Representative (2005 - 2013)

Roxbury Capital Management, Trader (2000 - 2003)

Dimensional Fund Advisors, Operations Coordinator (1999 - 2000)

Steve S. Caltagirone, Partner, Client Advisor

**Year of Birth:**

1973

Formal Education:

Vanderbilt University (2002), MBA, Finance

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

Professional Designations:

Certified Financial Planner Licensee (2013)

Business Background:

Mission Wealth Management, LP (2013 - present)

Elmwood Wealth Management, Inc., Portfolio Mgr. & Wealth Advisor (2012 - 2013)

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

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

Tricia Fahnoe, Partner, Client Advisor

**Year of Birth:**

1971

Formal Education:

Anderson School at UCLA, Los Angeles, CA (2005), MBA, Finance

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

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

Professional Designations:

Certified Financial Planner Licensee (1996)

Business Background:

Mission Wealth Management, LP (2011 - present)

Mercer Advisors, Strategic Advisor (1997 - 2011)



Geoffrey Sutherland Gaggs, Partner, Client Advisor

**Year of Birth:**

1971

Formal Education:

College of Financial Planning, Denver, CO (2005), Masters of Science, Financial Planning
Cal State University, Northridge (1994), Bachelor of Science, Business Finance
Santa Barbara City College (1992)

Professional Designations:

Certified Financial Planner Licensee (1999)

Business Background:

Mission Wealth Management, LP (2000 - present)
Mutual Securities, Registered Representative (2013 - present)
National Planning Corporation, Registered Representative (2000 - 2013)
Mercer Global Advisors, Associate Consultant (1995 - 2000)

Andrew Lawrence Penso, Partner, Client Advisor

**Year of Birth:**

1982

Formal Education:

College of Financial Planning, Denver, CO (2012), Masters of Science, Financial Planning
University of California, Santa Barbara (2004), Bachelor of Arts in Business Economics
with emphasis in Accounting

Professional Designations:

Certified Financial Planner Licensee (2006)
Accredited Wealth Management Advisor (2005)
Accredited Asset Management Specialist (2005)

Business Background:

Mission Wealth Management, LP (2005 - present)
National Planning Corporation, Registered Representative (2005 - 2013).
A portion of his time is spent working from the Denver, CO, and Scottsdale, AZ, offices.

Brad Warren Stark, Founder, Partner, Client Advisor, Chief Compliance Officer

**Year of Birth:**

1970

Formal Education:

College of Financial Planning, Denver, CO (2002), Masters of Science, Financial Planning
University of California, Santa Barbara (1992), Bachelor of Arts in Business Economics

Professional Designations:

Accredited Asset Management Specialist (2004)
Chartered Mutual Fund Counselor (1996)
Certified Financial Planner Licensee (1994)

Business Background:



Mission Wealth Management, LP (2000 – present)
National Planning Corporation, Registered Representative, Investment Adviser Representative (2000 - 2013)
California State University, Channel Islands, Adjunct Professor (2008 - 2012)
Signator Financial Network (formerly John Hancock Financial Services and John Hancock Distributors), Registered Representative (1992 - 2000)

Seth Mathew Streeter, Founder, Partner, Client Advisor, Chief Executive Officer



Year of Birth:

1969

Formal Education:

College of Financial Planning, Denver, CO (2001), Masters of Science, Financial Planning
University of California, Santa Barbara (1992), Bachelor of Arts in Sociology and Communication with honors

Professional Designations:

Certified Divorce Financial Analyst (2007)
Certified Estate Advisor (2006)
Certified Financial Planner Licensee (1995)

Business Background:

Mission Wealth Management, LP (2000 – present)
National Planning Corporation, Registered Representative, Investment Adviser Representative (2000 - 2013)
Signator Financial Network (formerly John Hancock Financial Services and John Hancock Distributors), Registered Representative (1992 - 2000)

Dannell Rice Stuart, Partner, Client Advisor, Director of Business Development



Year of Birth:

1974

Formal Education:

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

Professional Designations:

Chartered Financial Consultant (2001)
Certified Financial Planner Licensee (1999)

Business Background:

Mission Wealth Management, LP (2010- present)
National Planning Corporation, Registered Representative, Investment Adviser Representative (2010 - 2013)
Ameriflex Benefits Corporation, Vice President (1996 - 2010)
Securities America, Inc., Registered Representative, Investment Adviser (2009 - 2010)
Brecek & Young Advisors, Inc., Registered Representative (1999 - 2009)
Aragon Securities, Registered Representative (1996 - 1999)



Professional Group (Alphabetical Order)

Davis Edwards, Trader and Research

**Year of Birth:**

1992

Formal Education:

University of California, Santa Barbara (2015), Economics

Professional Designations:

Accredited Asset Management Specialist (2015)

Accredited Wealth Management Advisor (2015)

CFA Level 3 Candidate – he passed his final CFA exam in 2017 but is still earning his work experience requirement.

Business Background:

Mission Wealth Management, LP (2015-present)

Rick D. Gonzalez, Client Advisor

**Year of Birth:**

1964

Formal Education:

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

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

Professional Designations:

Certified Financial Planner Licensee (2017)

Accredited Wealth Management Advisor (2015)

Certified Investment Management Analyst (2010)

Business Background:

Mission Wealth Management, LP (2014 - present)

SEIA, Financial Advisor (2013)

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

Rory Macdonald, Client Advisor

**Year of Birth:**

1988

Formal Education:

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

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

Professional Designations:

Certified Financial Planner Licensee (2015)

Accredited Portfolio Management Advisor (2014)

Accredited Wealth Management Adviser (2013)

Accredited Asset Management Specialist (2012)

Business Background:



Mission Wealth Management, LP (2012 - present)
Merrill Lynch, Summer Intern, (2009-2010)

Jessica Mora, Client Advisor Associate



Year of Birth:

1991

Formal Education:

University of California, Los Angeles (2017), Personal Financial Planning Certificate
University of California, Santa Barbara (2013), Bachelor of Arts in Psychology

Business Background:

Mission Wealth Management, LP (2017 - present)
Kaye Capital Management (2014 - 2017)

Ryan Niedbalski, Client Advisor



Year of Birth:

1987

Formal Education:

Louisiana State University (2009), Bachelor in Economics

Professional Designations:

Chartered Life Underwriter (2016)
Certified Financial Planner Licensee (2013)

Business Background:

Mission Wealth Management, LP (2017-Present)
Bryson Financial Group, Assistant Advisor (2011 - 2017)
Proequities, Inc., Registered Representative (2010 - 2011)

Kieran Osborne, Chief Investment Officer



Year of Birth:

1980

Formal Education:

University of Otago, New Zealand (2005), Master of Business
University of Otago, New Zealand (2003), Bachelor of Commerce

Professional Designation:

Chartered Financial Analyst (2010)

Business Background:

Mission Wealth Management, LP (2013 - present)
Merk Investments, Co-Portfolio Manager (2009 - 2012)
Brook Asset Management, Equity Analyst (2006 - 2008)



Jenna Lauryn Rogers, Client Advisor

**Year of Birth:**

1987

Formal Education:

College for Financial Planning, Denver, CO (2014), Masters of Science, Financial Planning
California State University, Channel Islands (2009), Bachelor of Arts in Business Admin
Porterville College (2007), Associates in Business Administration

Professional Designations:

Certified Financial Planner Licensee (2012)

Accredited Asset Management Specialist (2010)

Accredited Wealth Management Advisor (2009)

Business Background:

Mission Wealth Management, LP (2008 - present)

National Planning Corporation, Registered Representative (2011 - 2013)

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

Julianna Rote, Client Advisor

**Year of Birth:**

1992

Formal Education:

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

Professional Designations:

Certified Financial Planner Licensee (2017)

Accredited Asset Management Specialist (2015)

Accredited Wealth Management Advisor (2015)

Business Background:

Mission Wealth Management, LP (2014 - present)

Gregory John Smith, Client Advisor and Compliance Associate

**Year of Birth:**

1954

Formal Education:

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

Professional Designations:

Chartered Life Underwriter (2013)

Chartered Financial Consultant (2011)

Chartered Retirement Plan Specialist (2009)

Certified Financial Planner Licensee (1998)

Business Background:

Mission Wealth Management, LP (2003 - present)

National Planning Corporation, Financial Advisor (2002 - 2013)

Centaurus Financial, Financial Advisor (1999 - 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, Gaggis & Hunt, CPAs, Income Tax Accountant/Auditor (1980 - 1984)
Ernst & Young, CPAs, Income Tax Accountant (1979 - 1980)

Brian Sottak, Client Advisor



Year of Birth:

1984

Formal Education:

California Polytechnic State University, San Luis Obispo, CA (2006), Bachelor of Science, Business Administration, Financial Management Concentration

Professional Designations:

Certified Financial Planner Licensee (2017)

Chartered Financial Analyst (2012)

Chartered Alternative Investment Analyst (2012)

Business Background:

Mission Wealth Management, LP (2017 – present)

Balyasny Asset Management, Trading/Investments (2015 - 2016)

Mellon Capital, Trading/Investments (2013 - 2015)

Bank of New York Mellon, Senior Portfolio Manager/Investments (2008 - 2013)

FMV Opinions, Inc., Analyst, Valuation & Investment Banking Div. (2007 - 2008)

National Semiconductor Corporation, Analyst, Finance (2006 - 2007)

Amanda Thomas, Client Advisor



Year of Birth:

1960

Formal Education:

University of North Carolina, Chapel Hill, NC (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, LP (2006 - present)

National Planning Corporation, Registered Representative (2006 - 2013)

Sombrilla Management, LP, Executive Property Manager (2005 - 2006)

Northern Trust Bank, Vice President - Banking (1994 - 2005)



Long Nam Tran, Client Advisor

**Year of Birth:**

1988

Formal Education:

University of California, Santa Barbara (2010), Business Economics

Business Background:

Mission Wealth Management, LP (2016 - present)

Wells Fargo Advisors, LLC, Registered Client Associate (2014 - 2016)

Canterbury Consulting, Inc., Investment Analyst (2013 - 2014)

Ameriprise Financial, Financial Planning Specialist (20010 - 2013)

Robyn Wallace, Client Advisor Associate

**Year of Birth:**

1988

Formal Education

University of California, Irvine (2010), Bachelor of Fine Arts in Dance, Minor in Political Science

Business Background

Mission Wealth Management, LP (2017 - present)

JP Morgan Chase, Private Client Banker (2015 - 2017)

Saurian Financial Group, Advisor (2014 - 2015)

Qualifications of Professional Designations as follows:

CFP® (Certified Financial Planner™): 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.

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.

APMA® (Accredited Portfolio Management Advisor): Designation that focuses on client assessment and suitability, risk/return, investment objectives, bond and equity portfolios, modern portfolio theory and investor psychology. Students have hands-on practice in analyzing investment policy statements, building



portfolios, and making asset allocation decisions including sell, hold, and buy decisions within a client's portfolio. Additionally, individuals must pass an end-of-course examination.

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 Analyst): 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 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 culminated 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.

CAIA® (Chartered Alternative Investment Analyst): This is the globally-recognized credential for professionals



managing, analyzing, distributing, or regulating alternative investments, which include private equity, hedge funds, commodities and real estate, among others. Those who have earned the designation successfully pass both the Level I & II exams; have more than one year of qualifying work experience (or four years of professional experience); maintain annual membership dues and abide by the membership agreement.

PART 2 B 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 2 B ITEM 3 – 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 2 B ITEM 3 – ADDITIONAL COMPENSATION

We have nothing to disclose in this regard.

PART 2 B ITEM 3 – 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 supported by a number of people who have testing responsibilities, including, but may not be limited to, Diane Williamson, Matt Adams, Kieran Osborne, Davis Edwards and Greg Smith. Mr. Stark is supervised by President, Matt Adams. Please contact Brad Stark if you have any questions about MWM's brochure supplement at (805) 882-2360.