

Monocot Wealth Management, LLC Brochure Supplement

Brochure Supplement

May 2018

TERESE A. SWIGART
CRD # 5282834

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Westlake Village, CA 91361

(805) 366-3482

This Brochure Supplement provides information about Terese A. Swigart that supplements the Disclosure Brochure of Monocot Wealth Management, LLC (hereinafter “Monocot Wealth Management”), a copy of which you should have received. Please contact Monocot Wealth Management’s Chief Compliance Officer if you did not receive the Disclosure Brochure or if you have any questions about the contents of this Brochure Supplement. Additional information about Terese A. Swigart is available on the SEC’s website at www.adviserinfo.sec.gov.

Monocot Wealth Management, LLC, a Registered Investment Adviser

2659 Townsgate Rd., Suite 142, Westlake Village, CA 91361 | (805) 366-3482
www.monocotwm.com

Item 2. Educational Background and Business Experience

Born 1961

Post-Secondary Education

UCLA | B.A., English | 1983

Recent Business Background

Monocot Wealth Management, LLC | Investment Adviser Representative and Chief Compliance Officer | April 2016 – Present

Purshe Kaplan Sterling Investments, Inc. | Registered Representative | April 2016– Present

UBS Financial Services, Inc. | Senior Registered Client Service Associate | January 2007 – April 2016

Item 3. Disciplinary Information

Monocot Wealth Management is required to disclose information regarding any legal or disciplinary events material to a client's evaluation of Terese A. Swigart. Monocot Wealth Management has no information to disclose in relation to this Item.

Item 4. Other Business Activities

Monocot Wealth Management is required to disclose information regarding any investment-related business or occupation in which Terese A. Swigart is actively engaged.

Registered Representative of a Broker-Dealer

Terese A. Swigart is a registered representative of Purshe Kaplan Sterling Investments, Inc. ("PKS"), an SEC registered broker-dealer and member of FINRA. In this capacity, Terese A. Swigart may provide securities brokerage services and implement securities transactions under a commission based arrangement. Terese A. Swigart may be entitled to a portion of the brokerage commissions paid to PKS, as well as a share of any ongoing distribution or service ("trail") fees from the sale of mutual funds.

A conflict of interest exists to the extent that Terese A. Swigart recommends the purchase of securities where she receives commissions or other additional compensation as a result. This practice may give her an incentive to recommend investment products based on compensation received rather than on the client's needs. Monocot Wealth Management has procedures in place to ensure that all recommendations are made in the best interests of clients regardless of any additional compensation earned. For certain accounts covered by ERISA (and such others that the firm deems appropriate),

Monocot Wealth Management, LLC Brochure Supplement

Monocot Wealth Management provides investment advisory services on a fee offset basis, whereby the firm reduces its fee by an amount equal to the aggregate commissions and 12b-1 fees earned by Terese A. Swigart in her individual capacity as a registered representative of *PKS*.

Item 5. Additional Compensation

Monocot Wealth Management is required to disclose information regarding any arrangement under which Terese A. Swigart receives an economic benefit from someone other than a client for providing investment advisory services. Monocot Wealth Management has no information to disclose in relation to this Item.

Item 6. Supervision

Josephus Teurlings, Chief Compliance Officer, is generally responsible for supervising Terese A. Swigart's advisory activities on behalf of Monocot Wealth Management. Mr. Teurlings can be reached at the firm's main telephone number listed on the cover page of this Brochure Supplement.

Monocot Wealth Management supervises its personnel and the investments made in client accounts. Monocot Wealth Management monitors the investments recommended by Terese A. Swigart to ensure they are suitable for the particular client and consistent with their investment needs, goals, objectives and risk tolerance, as well as any restrictions previously requested by the client. Monocot Wealth Management periodically reviews the advisory activities of Terese A. Swigart, which may include reviewing individual client accounts and correspondence (including e-mails) sent and received by Terese Swigart.

Item 7. Requirements for State Registered Advisers

Ms. Swigart has not been involved in any arbitration claim alleging damages in excess of \$2,500. Furthermore, he has neither been involved in nor found liable in any civil, self-regulatory organization, or administrative proceeding nor has been the subject of any bankruptcy petitions.

