

# PACIFIC FORTUNE MANAGEMENT INC

## **Gregory Syler**

2054 43<sup>rd</sup> Avenue  
San Francisco, CA 94116  
(415) 806-0136

December 25, 2018

The Brochure Supplement provides information about Gregory Syler that supplements the Pacific Fortune Management Inc Brochure. You should have received a copy of the Brochure. Please contact our Chief Compliance Officer by email at [wallace.xiang@pfmfinance.com](mailto:wallace.xiang@pfmfinance.com) or phone (415)806-0136. If you did not receive Pacific Fortune Management Inc Brochure or if you have any questions about the contents of this supplement.

Additional information about Gregory Syler (CRD# 2683638) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You can search this site by a unique identifying number, known as the CRD number listed above.

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## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

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### Gregory Syler

Born: July 1961

Post-Secondary Education:

- BS Finance and Banking, San Francisco State University
- Successfully passed the Series 7, Series 9, Series 10, Series 63, Series 66

Recent Business Experience:

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| Investment Advisor, Pacific Fortune Management Inc:          | 12/2018 to Present |
| Compliance Consultant, Align Advisor Services LLC:           | 09/2017 to Present |
| CCO, Sowell Management Services LLC:                         | 10/2016 to 07/2017 |
| CCO, Concert Wealth Management LLC:                          | 12/2015 to 12/2016 |
| Compliance Officer, UBS Financial Services LLC:              | 02/2015 to 11/2015 |
| Branch Administrative Manager, Deutsche Bank Securities LLC: | 02/2013 to 02/2015 |
| Compliance Manager, JP Morgan Securities LLC:                | 11/2011 to 04/2013 |
| Associate, JP Morgan Chase Bank:                             | 11/2011 to 04/2013 |
| Unemployed:  | 07/2010 to 11/2011 |
| Compliance Manager, Wells Fargo Advisors LLC:                | 04/2007 to 07/2010 |

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## ITEM 3 - DISCIPLINARY INFORMATION

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Gregory Syler has no history of any legal or disciplinary events deemed to be material to a client's consideration of Gregory Syler to act as their investment adviser representative. FINRA's BrokerCheck® may have additional information regarding the disciplinary history of Gregory Syler that is not included in this brochure supplement.

<http://brokercheck.finra.org/Support/TermsAndConditions.aspx>

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## ITEM 4 - OTHER BUSINESS ACTIVITIES

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Greg Syler is a Compliance Consultant for Align Advisor Services. In this capacity Mr. Syler provides regulatory compliance services to various Registered Investment Advisory Firms and individual Investment Advisors. Mr. Syler does not provide any type of financial information or advice to the respective Registered Investment Advisory Firm nor Investment Advisor. He does not recommend securities, insurance, or other financial products. His compensation for his consultation services is provided through a monthly service fee negotiated with the Registered Investment Advisory Firm or the individual Investment Advisor. Since no type of advice or recommendation is given, there is not a potential for a conflict of interest.

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## ITEM 5 - ADDITIONAL COMPENSATION

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Gregory Syler does not receive economic benefits from someone who is not a client. He does

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not receive any additional compensation other than what is listed under Item 4.

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#### **ITEM 6 - SUPERVISION**

Gregory Syler is supervised through a compliance program designed to prevent and detect violations of the federal and state securities laws. Supervision is conducted by the Chief Compliance Officer who is responsible for administering the policies and procedures. The Chief Compliance Officer will review those policies and procedures annually for their adequacy and the effectiveness of their implementation. All policies and procedures of the firm are followed.

The Chief Compliance Officer is Yi (Wallace) Xiang and may be reached by email at wallace.xiang@pfmfinance.com or phone (415)806-0136.

#### **ITEM 7-REQUIREMENTS FOR STATE REGISTERED ADVISORS**

- A. Mr. Greg Syler has not been involved in 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
    - 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
    - e) dishonest, unfair, or unethical practices.
- B. Gregory Syler has not been the subject of a bankruptcy petition at any time.