

Part 2B of Form ADV: *Brochure Supplement*

Charles Failla

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1/23/2019

This brochure supplement provides information about Charles Failla that supplements the Sovereign Financial Group brochure. You should have received a copy of that brochure. Please contact John Karl Kochersperger if you did not receive our brochure or if you have any questions about the contents of this supplement.

Additional information about Charles Failla is available of the SEC's website at www.adviserinfo.sec.gov.

Item 2. Educational Background and Business Experience

Charles Failla

Year of birth: 1968

Education:

University of Connecticut; Bachelors of Science in Finance; 1990

Business Background:

August 1999 – November 2018: Raymond James Financial Services, Inc; Branch Owner

Professional Designations:

Series 7 Exam-	June 21, 1995
Series 24 Exam-	November 29, 1999
Series 63 Exam-	July 6, 1995
Series 65 Exam-	December 27, 1999

Item 3. Disciplinary Information

In 2012, a client submitted a complaint to FINRA alleging that Mr. Failla made securities selections which violated Mr. Failla's fiduciary duty to the client. The complaint was settled before an arbitration hearing.

Item 4. Other Business Activities

Mr. Failla is general partner of Sovereign Realty One, L.P., a company which invests in and rents out property. Clients of Sovereign Financial are under no obligation to patronize Sovereign Realty One, L.P.

Item 5. Additional Compensation

Mr. Failla does not receive any additional compensation from third parties for providing investment advice to its clients.

Item 6. Supervision

As the owner and investment officer of the firm, Mr. Failla will be involved in making investment decisions for clients. Mr. Failla's actions will be supervised by the firm's chief compliance officer, John Kochersperger. Sovereign Financial has a code of ethics and compliance manual which ensures the firm meets all regulations of registered investment advisers by the SEC. Mr. Kochersperger can be contacted at (203) 883-6006.

Item 7. Items for State-Registered Advisers

Mr. Failla has not been found liable in in any arbitration hearing, or in a proceeding by a civil, administrative, or self-regulatory body. Mr. Failla has never been the subject of a bankruptcy petition.