

Item 1: Cover Page
Part 2B of Form ADV: Brochure Supplement
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Christopher Brian Carolan

Dimensions Wealth Management, LLC
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Firm Contact:
Christopher Carolan
Chief Compliance Officer

This brochure supplement provides information about Mr. Carolan that supplements our brochure. You should have received a copy of that brochure. Please contact Christopher Carolan if you did not receive Dimensions Wealth Management, LLC's brochure or if you have any questions about the contents of this supplement. Additional information about Mr. Carolan is available on the SEC's website at www.adviserinfo.sec.gov by searching CRD #4402629.

Item 2: Educational Background & Business Experience

Christopher Brian Carolan, CFP®

Year of Birth: 1977

Educational Background:

- 1998 – 2001: California State University Sacramento; Studied Finance
- 1997 – 1998: Sierra College; Studied Accounting

Business Background:

- 11/2018 – Present Dimensions Wealth Management, LLC; Financial Advisor, Managing Member & Chief Compliance Officer
- 11/2018 – Present Chalice Wealth Partners; Registered Representative
- 06/2009 – 11/2018 Morgan Stanley; Financial Advisor
- 09/2007 – 06/2009 Morgan Stanley & Co.; Financial Advisor
- 07/2001 – 08/2007 AG Edwards & Sons; Financial Advisor

Exams, Licenses & Other Professional Designations:

- 04/2008: Series 31 Exam
- 10/2007: Series 65 Exam
- 05/2006: Certified Financial Planner, CFP®
- 09/2001: Series 63 Exam
- 07/2001: Series 7 Exam

CERTIFIED FINANCIAL PLANNER, CFP®

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its high standard of professional education, stringent code of conduct and standards of practice and ethical requirements that govern professional engagements with clients. To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements: Complete an advanced college-level course of study addressing the financial planning subject areas that CFP® Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university, pass the comprehensive CFP® Certification Examination, Complete at least three years of full-time financial planning-related experience and agree to be bound by CFP® Board's *Standards of Professional Conduct*.

Individuals who become certified must complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial industry and renew an agreement to be bound by the *Standards of Professional Conduct*. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

Item 3: Disciplinary Information¹

Mr. Carolan was involved in a written complaint alleging misrepresentation of investments which was settled by the payment of \$250,000 from Morgan Stanley to the alleging third party on August 15, 2008. This complaint arose as a result of the unprecedented illiquidity in the auction rate securities market at the time. Failed auctions led to an industry-wide problem affecting all auction rate securities holders over which Mr. Carolan did not have control. For additional information please search CRD #4402629 at www.adviserinfo.sec.gov.

Item 4: Other Business Activities

Mr. Carolan is a registered representative of Chalice Wealth Partners, member FINRA/SIPC. He may offer products and receive normal and customary commissions as a result of these transactions. A conflict of interest may arise as these commissionable securities sales may create an incentive to recommend products based on the compensation earned. To mitigate this potential conflict, Mr. Carolan, as a fiduciary, will act in the client's best interest.

Mr. Carolan is a licensed insurance agent/broker. He may offer products and receive normal and customary commissions as a result of these transactions. A conflict of interest may arise as these commissionable securities sales may create an incentive to recommend products based on the compensation earned.

Item 5: Additional Compensation

In connection with the transition of clients to the Raymond James Financial Services, Inc. ("RJFS") platform, Mr. Carolan received or will receive financial transition support from RJFS in the form of a forgivable loan that may be forgiven over time, depending on the length of his tenure with RJFS. The amount of the loan, paid to Mr. Carolan on November 2, 2018, represents a substantial payment. Forgiveness of the loan, in whole or in part, is conditioned on Mr. Carolan remaining affiliated with RJFS, and is based on the amount of business our firm engages in with RJFS, including, but not limited to, the amount of client assets our firm maintains with RJFS and/or using RJFS as the custodian for a certain percentage of all new client accounts. As such, Mr. Carolan has a financial incentive to recommend that its clients maintain their accounts with RJFS Financial.

The amount of this payment is significantly related to the overall revenue earned or compensation received by Mr. Carolan at his prior firm. Such payments are generally based on the size of the representative's business established at his prior firm and/or assets expected to be under custody on the RJFS platform. As a result, Mr. Carolan has a financial incentive to recommend that clients

¹ Note: Our firm may, under certain circumstances, rebut the presumption that a disciplinary event is material. If an event is immaterial, we are not required to disclose it. When we review a legal or disciplinary event involving the advisor to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of advisor to the advisory function; (2) the nature of the infraction that led to the disciplinary event; (3) the severity of the disciplinary sanction; and (4) the time elapsed since the date of the disciplinary event. If we conclude that the materiality presumption has been overcome, we prepare and maintain a file memorandum of our determination in our records. We follow SEC rule 204-2(a)(14)(iii) and similar state rules.

establish an account with RJFS. This financial incentive creates a conflict of interest in connection with Mr. Carolan's recommendation of RJFS.

Item 6: Supervision

Mr. Carolan is the sole owner and Chief Compliance Officer and as such has no internal supervision placed over him. He is, however, bound by our firm's Code of Ethics.

Item 7: Requirements for State-Registered Advisers

Mr. Carolan 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.