

**Item 1: Cover Page**  
**Part 2B of Form ADV: Brochure Supplement**  
**August 9<sup>th</sup>, 2019**



**Regina C. Legates**

**5201 Great America Parkway, Suite 320**  
**Santa Clara, CA 95054**  
**[www.FigTreeAdvisors.com](http://www.FigTreeAdvisors.com)**

**Firm Contact:**  
**Regina Legates**  
**Chief Compliance Officer**

This brochure supplement provides information about Ms. Legates that supplements our brochure. You should have received a copy of that brochure. Please contact Ms. Legates if you did not receive FigTree Financial Advisors, LLC's brochure or if you have any questions about the contents of this supplement. Additional information about Ms. Legates is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD #3007598.

## Item 2: Educational Background & Business Experience

**Regina C. Legates**

**Year of Birth:** 1969

### **Educational Background:**

- 1991: University of California at Riverside; Bachelor of Science in Economics

### **Business Background:**

- 04/2019 – Present FigTree Financial Advisors, LLC; Managing Member, Chief Compliance Officer & Investment Adviser Representative
- 06/2017 – 04/2019 Prosperity Financial Group, Inc., dba FigTree Financial Advisors; Financial Advisor
- 07/1998 – 06/2017 Ameriprise Financial; Financial Advisor

### **Exams, Licenses & Other Professional Designations:**

- 2018: Chartered Kingdom Advisor (CKA®)
- 2010: Chartered Advisor in Philanthropy (CAP®)
- 1998: Series 65 Exam
- 1998: Accident, Life, Health, & Variable Contracts Insurance License (Lic. No. 0C21962)

### **Chartered Kingdom Advisor (CKA®)**

The central mission of Kingdom Advisors (“KA”) is to benefit the public by granting the Certified Kingdom Advisor® designation and upholding it as the standard of excellence for biblically wise financial advice. To earn the CKA® designation, candidates must: 1) Already hold an industry approved designation such as a CFP®, ChFC®, CPA, etc. or hold 10 years of experience in the disciplines of insurance, investments, accounting, law, and/or financial planning. 2) Complete the University-based CKA® Educational Program and pass a national, proctored exam. 3) A pastoral reference and two client references from non-family members who have known the candidate for at least two years as well as have served as the client of the candidates within the past two years. 4) Complete 10 hours of Kingdom Advisor continuing Education prior to CKA® renewal date each year. To learn more about the CKA® designation, visit [www.kingdomadvisors.com](http://www.kingdomadvisors.com).

### **Chartered Advisor in Philanthropy (CAP®)**

The CAP designation is offered by The American College of Financial Services. Candidates must be engaged in the following professional activities 3 of the 5 years immediately preceding their application: (1) Advising individuals or charitable organizations in wealth and estate planning, financial planning, charitable planning, charitable giving, planned giving, nonprofit or foundation management or services, investment management of charitable assets or accounting; or (2) Employed in the nonprofit sector in a capacity related to nonprofit management, development, planned giving or fundraising. To receive the CAP designation, candidates must successfully complete all courses in their selected program, meet experience requirements and ethics standards, and agree to comply with The American College of Financial Services’ Code of Ethics and Procedures. The CAP designation is obtained by completing 3 graduate level courses (equivalent to 9 semester credit hours) and a proctored exam for each course. 15 hours of continuing education every 2 years is required to maintain this designation.

### **Item 3: Disciplinary Information<sup>1</sup>**

There are no legal or disciplinary events material to the evaluation of Ms. Legates.

### **Item 4: Other Business Activities**

Ms. Legates is a licensed insurance agent/broker. She may offer insurance products and receive customary fees as a result of insurance sales. A conflict of interest may arise as these insurance sales may create an incentive to recommend products based on the compensation earned. To mitigate this potential conflict, Ms. Legates, as a fiduciary, will act in the client's best interest.

### **Item 5: Additional Compensation**

Ms. Legates does not receive any other economic benefit for providing advisory services in addition to advisory fees.

### **Item 6: Supervision**

Ms. Legates is the sole owner and Chief Compliance Officer and as such has no internal supervision placed over her. She is, however, bound by our firm's Code of Ethics. Ms. Legates can be contacted at 408-891-3574.

### **Item 7: Requirements for State-Registered Advisers**

Ms. Legates has not been involved in any arbitration claim alleging damages in excess of \$2,500. Furthermore, she 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.

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<sup>1</sup> 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.