

*This brochure supplement provides information about Randy T Siegel that supplements the Aletheian Wealth Advisors LLC brochure. You should have received a copy of that brochure. Please contact Randy T Siegel if you did not receive Aletheian Wealth Advisors LLC's brochure or if you have any questions about the contents of this supplement.*

*Additional information about Randy T Siegel is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

## **Aletheian Wealth Advisors LLC**

### **Form ADV Part 2B – Individual Disclosure Brochure**

*for*

### **Randy T Siegel**

Personal CRD Number: 4320650

Investment Adviser Representative

Aletheian Wealth Advisors LLC  
10655 NE 4th Street#312  
Bellevue, WA 98004  
(425) 458-2840  
[rsiegel@aletheianadvisors.com](mailto:rsiegel@aletheianadvisors.com)

UPDATED: 10/24/2019

## Item 2: Educational Background and Business Experience

**Name:** Randy T Siegel      **Born:** 1958

### **Educational Background and Professional Designations:**

#### **Education:**

BA CINEMA, USC - 1981

#### **Designations:**

##### **CFP® - Certified Financial Planner**

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

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 (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) 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:

- Education – 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). CFP Board’s financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board’s *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- i. Continuing Education – 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 planning field; and
- ii. Ethics – 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.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board’s enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

### ***CTFA – Certified Trust & Financial Advisor***

- For advisors with estate planning and trust expertise, the advisor must have a minimum of three years’ experience in personal trusts and the completion of a designated Institute of Certified Bankers (ICB) trust training program or five years’ experience in wealth management and a bachelor’s degree or ten years’ experience in wealth management.
- Designees must also sign a professional code of ethics and pass an examination. Forty five credits of continuing education must be completed every 3 years.
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### ***CDFA®- Certified Divorce Financial Analyst***

#### **MINIMUM QUALIFICATIONS**

- In order to be considered for this designation, a professional must have at least two years experience in the financial or legal industry.
- Must complete a series of four examinations based upon material learned from four self-study courses. Coursework outlines several key areas important in divorce proceedings; including the treatment of property during divorce, alimony and child support, and tax implications of property division. The entire program generally takes at least 4 months to complete.

### **Business Background:**

|                   |   |
|-------------------|---|
| 05/2019 - Present | Chief Operating Officer & Chief Compliance Officer<br>Aletheian Wealth Advisors LLC   |
| 04/2016 - 05/2019 | Managing Director of Wealth Planning & Trust<br>Services<br>Cornerstone Advisors, Inc |
| 11/2015 - 04/2016 | Director of Financial Planning<br>Morton Capital Management                           |
| 04/2012 - 11/2015 | VP, Sr Financial Planner<br>Key Private Bank  |

03/2009 - 04/2012

Senior Financial Advisor  
Ameriprise Financial

11/2000 - 03/2009

Financial Advisor  
Smith Barney

### **Item 3: Disciplinary Information**

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

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

Randy T Siegel is not engaged in any investment-related business or occupation (other than this advisory firm).

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

Randy T Siegel does not receive any economic benefit from any person, company, or organization, other than Aletheian Wealth Advisors LLC in exchange for providing clients advisory services through Aletheian Wealth Advisors LLC.

### **Item 6: Supervision**

As the Chief Compliance Officer of Aletheian Wealth Advisors LLC, Randy T Siegel supervises all activities of the firm. Randy T Siegel's contact information is on the cover page of this disclosure document. Randy T Siegel adheres to applicable regulatory requirements, together with all policies and procedures outlined in the firm's code of ethics and compliance manual.

### **Item 7: Requirements For State Registered Advisers**

*This disclosure is required by state securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

A. Randy T Siegel 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; or
    - 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; or
    - e) dishonest, unfair, or unethical practices.
- B. Randy T Siegel has not been the subject of a bankruptcy petition.