



**Maxim Capital Management LLC
dba Worldview Wealth Advisors**

Form ADV Part 2A – Disclosure Brochure

Effective: December 3, 2019

This Form ADV Part 2A ("Disclosure Brochure") provides information about the qualifications and business practices of Maxim Capital Management LLC ("Worldview" or the "Advisor"). If you have any questions about the contents of this Disclosure Brochure, please contact us at (415) 671-4145 or by email at compliance@worldviewwealth.com.

Worldview is a registered investment advisor with the U.S. Securities and Exchange Commission ("SEC"). The information in this Disclosure Brochure has not been approved or verified by the SEC or by any state securities authority. Registration of an investment advisor does not imply any specific level of skill or training. This Disclosure Brochure provides information about Worldview to assist you in determining whether to retain the Advisor.

Additional information about Worldview and its Advisory Persons is available on the SEC's website at www.adviserinfo.sec.gov by searching with our firm name or our CRD# 138891.

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Item 2 – Material Changes

Form ADV 2 is divided into two parts: *Part 2A (the "Disclosure Brochure")* and *Part 2B (the "Brochure Supplement")*. The Disclosure Brochure provides information about a variety of topics relating to an Advisor's business practices and conflicts of interest. The Brochure Supplement provides information about the Advisory Persons of Worldview. For convenience, we have combined these documents into a single disclosure document.

Worldview believes that communication and transparency are the foundation of its relationship with Clients and will continually strive to provide its Clients with complete and accurate information at all times. Worldview encourages all current and prospective Clients to read this Disclosure Brochure and discuss any questions you may have with us. And of course, we always welcome your feedback.

Material Changes

The following material changes have been made to this Disclosure Brochure since the last filing and distribution to Clients:

- Item 1: Our address has changed. Please see Item #1 for details.
- Item #4: The types of clients we provide services too has been updated to include high net worth individuals and to remove retirement plans. Please see Item 4 for details
- Item 7: The types of clients we provide services too has been updated to include high net worth individuals. Please see Item 7 for details.
- Item10: Our Financial Industry Affiliations have been updated to remove David Colvin as a sub-advisor to Worldview. Please see Item 10 for details.

Future Changes

From time to time, we may amend this Disclosure Brochure to reflect changes in our business practices, changes in regulations and routine annual updates as required by the securities regulators. This complete Disclosure Brochure or a Summary of Material Changes shall be provided to each Client annually and if a material change occurs.

At any time, you may view the current Disclosure Brochure on-line at the SEC's Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with our firm name or our CRD# 138891. You may also request a copy of this Disclosure Brochure at any time by contacting us at (415) 671-4145 or by email at compliance@worldviewwealth.com.

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Item 4 – Advisory Services

A. Firm Information

Maxim Capital Management LLC (“Worldview” or the “Advisor”) is a registered investment advisor with the U.S. Securities and Exchange Commission (“SEC”), which is organized as a Limited Liability Company (LLC) under the laws of the State of Oregon. Worldview was founded in 2005, and is owned and operated by Andrew Fisher. This Disclosure Brochure provides information regarding the qualifications, business practices, and the advisory services provided by Worldview.

B. Advisory Services Offered

Worldview offers advisory services to individuals, high net worth individuals, trusts, foundations and endowments, businesses, (each referred to as a “Client”).

The Advisor serves as a fiduciary to Clients, as defined under the applicable laws and regulations. As a fiduciary, the Advisor upholds a duty of loyalty, fairness and good faith towards each Client and seeks to mitigate potential conflicts of interest. Our fiduciary commitment is further described in our Code of Ethics. For more information regarding our Code of Ethics, please see Item 11 – Code of Ethics, Participation or Interest in Client Transactions and Personal Trading.

Investment Advisory Services

Worldview provides customized investment advisory solutions for its Clients. This is achieved through continuous personal Client contact and interaction while providing discretionary and non-discretionary investment management and related advisory services. Worldview works closely with each Client to identify their investment goals and objectives as well as risk tolerance and financial situation in order to create a portfolio strategy. Worldview will then construct an investment portfolio. We build globally diversified portfolios utilizing large and small stocks located in the U.S. and internationally, both domestic and international bonds, and alternative investments such as real estate and commodities. With our unique global focus, we gain a broader level of diversification and access to the most attractive investment opportunities around the world. Investment portfolios are constructed using our proprietary investment models and may consist of individual stocks and bonds, no-load and institutional-class mutual funds, exchange traded funds (ETFs), and other investment vehicles. Generally, we utilize investments that are liquid and readily marketable, and that have low costs and high tax efficiency. The Advisor may retain certain types of investments based on a Client’s legacy investments based on portfolio fit and/or tax considerations.

Worldview’s investment strategies are primarily long-term focused, but the Advisor may buy, sell or re-allocate positions that have been held less than one year to meet the objectives of the Client or due to market conditions. Worldview will construct, implement and monitor the portfolio to ensure it meets the goals, objectives, circumstances, and risk tolerance agreed to by the Client. Each Client will have the opportunity to place reasonable restrictions on the types of investments to be held in their respective portfolio, subject to acceptance by the Advisor.

Worldview evaluates and selects investments for inclusion in Client portfolios only after applying its internal due diligence process. Worldview may recommend, on occasion, redistributing investment allocations to diversify the portfolio. Worldview may recommend specific positions to increase sector or asset class weightings. The Advisor may recommend employing cash positions as a possible hedge against market movement. Worldview may recommend selling positions for reasons that include, but are not limited to, harvesting capital gains or losses, business or sector risk exposure to a specific security or class of securities, overvaluation or overweighting of the position[s] in the portfolio, change in risk tolerance of the Client, generating cash to meet Client needs, or any risk deemed unacceptable for the Client’s risk tolerance.

At no time will Worldview accept or maintain custody of a Client’s funds or securities, except for the limited authority as outlined in Item 15 - Custody. All Client assets will be managed within the designated account[s] at the Custodian, pursuant to the terms of the advisory agreement. Please see Item 12 – Brokerage Practices

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Financial Planning Services

Worldview will typically provide a variety of financial planning and consulting services to Clients, pursuant to a written financial planning agreement. Services are offered in several areas of a Client's financial situation, depending on their goals, objectives and financial circumstance.

This service may include assisting clients in defining personal financial goals and objectives related to various areas which may include: retirement planning, tax strategies, retirement income planning, estate planning, real estate decisions, business planning and succession, international relocation planning, pension and retirement plan consulting, education planning, disability protection, and reviewing adequacy of insurance coverage. We help the client plan strategies and recommend actions to accomplish their goals and objectives. Additional consulting services may include, but are not limited to, help with concentrated stock positions, advice on investments not managed by us, derivative strategies designed to lower investment risk, and other miscellaneous financial matters that may be of concern to the client. Worldview generally serves as the lead advisor among our clients' other professional advisors (legal, accounting, insurance, etc.), as appropriate, to ensure that services are well coordinated and to avoid duplication.

A financial plan developed for, or financial consultation rendered to the Client will usually include general recommendations for a course of activity or specific actions to be taken by the Client. For example, recommendations may be made that the Client start or revise their investment programs, commence or alter retirement savings, establish education savings and/or charitable giving programs.

Worldview may also refer Clients to an accountant, attorney or other specialists, as appropriate for their unique situation. For certain financial planning engagements, the Advisor will provide a written summary of the Client's financial situation, observations, and recommendations. For consulting or ad-hoc engagements, the Advisor may not provide a written summary. Plans or consultations are typically completed within six (6) months of contract date, assuming all information and documents requested are provided promptly.

Financial planning and consulting recommendations may pose a conflict between the interests of the Advisor and the interests of the Client. For example, a recommendation to engage the Advisor for investment management services or to increase the level of investment assets with the Advisor would pose a conflict, as it would increase the advisory fees paid to the Advisor. Clients are not obligated to implement any recommendations made by the Advisor or maintain an ongoing relationship with the Advisor. If the Client elects to act on any of the recommendations made by the Advisor, the Client is under no obligation to implement the transaction through the Advisor.

Wealth Management

Wealth Management is a combination of both investment advisory services and financial planning. This service involves delivering both continuous investment advice and ongoing financial planning advice to a client, based on their individual needs. At the beginning of a new wealth management relationship, we learn the goals and objectives of the client through our financial planning process. We then will agree with the client on an investment policy, which guides us in our investing advisory services. Through the ongoing financial planning process, combined with our investment advisory service, we are able to continually monitor and update the client's plan, develop strategies and recommend actions to accomplish their goals and objectives

C. Client Account Management

Prior to engaging Worldview to provide investment advisory services, each Client is required to enter into one or more agreements with the Advisor that define the terms, conditions, authority and responsibilities of the Advisor and the Client. These services may include:

- Establishing an Investment Strategy – Worldview, in connection with the Client, will develop a strategy that seeks to achieve the Client's goals and objectives.
- Asset Allocation – Worldview will develop a strategic asset allocation that is targeted to meet the investment objectives, time horizon, financial situation and tolerance of risk for each Client.

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- Portfolio Construction – Worldview will develop a portfolio for the Client that is intended to meet the stated goals and objectives of the Client.
- Investment Management and Supervision – Worldview will provide investment management and ongoing oversight of the Client's investment portfolio.

D. Wrap Fee Programs

Worldview does not manage or place Client assets into a wrap fee program. Investment management services are provided directly by Worldview.

E. Assets Under Management

As of November 21, 2019 Worldview manages the following assets:

Discretionary Assets	\$140,678,167
Non-Discretionary Assets	\$0
Total Assets Under Management	\$140,678,167

Clients may request more current information at any time by contacting the Advisor.

Item 5 – Fees and Compensation

The following paragraphs detail the fee structure and compensation methodology for services provided by the Advisor. Each Client engaging the Advisor for services described herein shall be required to enter into a written agreement with the Advisor.

A. Fees for Advisory Services

Investment Management Services

Investment advisory fees are paid quarterly, in advance of each calendar quarter, pursuant to the terms of the agreement. Investment advisory fees are based on the market value of assets under management at the end of the prior calendar quarter. Investment advisory fees range from .035 to 1.25 annually based on several factors, including: the complexity of the services to be provided, the level of assets to be managed, and the overall relationship with the Advisor. Relationships with multiple objectives, specific reporting requirements, portfolio restrictions and other complexities may be charged a higher fee.

The investment advisory fee in the first quarter of service is prorated from the inception date of the account[s] to the end of the first quarter. Fees may be negotiable at the sole discretion of the Advisor. The Client's fees will take into consideration the aggregate assets under management with the Advisor. All securities held in accounts managed by Worldview will be independently valued by the Custodian. Worldview will not have the authority or responsibility to value portfolio securities.

The Advisor's fee is exclusive of, and in addition to, brokerage fees, transaction fees, and other related costs and expenses, which may be incurred by the Client. However, the Advisor shall not receive any portion of these commissions, fees, and costs.

Wealth Management

Wealth Management fees include both investment advisory and financial planning services. Wealth Management fees are paid quarterly, in advance, pursuant to the terms of the agreement. Investment advisory fees are based on the market value of assets under management at the end of the prior calendar quarter. Investment advisory fees range from .035 to 1.25 annually based on several factors, including: the complexity of the services to be provided, the level of assets to be managed, and the overall relationship with the Advisor. Relationships with multiple objectives, specific reporting requirements, portfolio restrictions and other complexities may be charged a higher fee.

The wealth management fee in the first quarter of service is prorated from the inception date of the account[s] to the end of the first quarter. Fees may be negotiable at the sole discretion of the Advisor. The Client's fees will take into consideration the aggregate assets under management with the Advisor. All securities held in accounts managed by Worldview will be independently valued by the Custodian. Worldview will not have the authority or responsibility to value portfolio securities.

The Advisor's fee is exclusive of, and in addition to, brokerage fees, transaction fees, and other related costs and expenses, which may be incurred by the Client. However, the Advisor shall not receive any portion of these commissions, fees, and costs.

Financial Planning Services

Worldview offers financial planning services on a fixed engagement fee. Financial planning fees are in addition to any investment advisory fees, however wealth management clients will receive financial planning services for no additional fee. Fixed engagement fees range from \$2,500 to \$30,000. Fees may be negotiable based on the nature and complexity of the services to be provided and the overall relationship with the Advisor. An estimate of total costs will be provided to the Client prior to engaging for these services.

B. Fee Billing

Investment Management Services

Investment advisory fees are calculated by the Advisor or its delegate and deducted from the Client's account[s] at the Custodian. The Advisor shall send an invoice to the Custodian indicating the amount of the fees to be deducted from the Client's account[s] at the beginning of the respective quarter. The amount due is calculated by applying the quarterly rate (annual rate divided by 4) to the total assets under management with Worldview at the end of the prior quarter. Clients will be provided with a statement, at least quarterly, from the Custodian reflecting deduction of the investment advisory fee. It is the responsibility of the Client to verify the accuracy of these fees as listed on the Custodian's brokerage statement as the Custodian does not assume this responsibility. Clients provide written authorization permitting advisory fees to be deducted by Worldview to be paid directly from their account[s] held by the Custodian as part of the investment advisory agreement and separate account forms provided by the Custodian.

Wealth Management Services

Wealth Management fees are calculated by the Advisor or its delegate and deducted from the Client's account[s] at the Custodian. The Advisor shall send an invoice to the Custodian indicating the amount of the fees to be deducted from the Client's account[s] at the beginning of the respective quarter. The amount due is calculated by applying the quarterly rate (annual rate divided by 4) to the total assets under management with Worldview at the end of the prior quarter. Clients will be provided with a statement, at least quarterly, from the Custodian reflecting deduction of the investment advisory fee. It is the responsibility of the Client to verify the accuracy of these fees as listed on the Custodian's brokerage statement as the Custodian does not assume this responsibility. Clients provide written authorization permitting advisory fees to be deducted by Worldview to be paid directly from their account[s] held by the Custodian as part of the investment advisory agreement and separate account forms provided by the Custodian.

Financial Planning Services

Financial planning fees are generally invoiced via a quarterly fee, with fifty percent (50%) of the expected total fee upon execution of the financial planning agreement. The balance shall be invoiced after the first quarter or, for ongoing planning relationships, at the beginning of each successive quarter.

C. Other Fees and Expenses

Clients may incur certain fees or charges imposed by third parties, other than Worldview, in connection with investments made on behalf of the Client's account[s]. The Client is responsible for all custody and securities execution fees charged by the Custodian. The fees charged by Worldview are separate and distinct from these custody and execution fees.

In addition, all fees paid to Worldview for investment advisory services are separate and distinct from the expenses charged by mutual funds and ETFs to their shareholders, if applicable. These fees and expenses are described in each fund's prospectus. These fees and expenses will generally be used to pay management fees for the funds, other fund expenses, account administration (e.g., custody, brokerage and account reporting), and a possible distribution fee. A Client may be able to invest in these products directly, without the services of Worldview, but would not receive the services provided by Worldview which are designed, among other things, to assist the Client in determining which products or services are most appropriate for each Client's financial situation and objectives. Accordingly, the Client should review both the fees charged by the fund[s] and the fees charged by Worldview to fully understand the total fees to be paid. Please refer to Item 12 – Brokerage Practices for additional information.

D. Advance Payment of Fees and Termination

Investment Management Services

Worldview may be compensated for its services in advance of the quarter in which investment advisory services are rendered. Either party may terminate the investment advisory agreement, at any time, by providing advance written notice to the other party. The Client may also terminate the investment advisory agreement within five (5) business days of signing the Advisor's agreement at no cost to the Client. After the five-day period, the Client will incur charges for bona fide advisory services rendered to the point of termination and such fees will be due and payable by the Client. The Advisor will refund any unearned, prepaid investment advisory fees from the effective date of termination to the end of the quarter. The Client's investment advisory agreement with the Advisor is non-transferable without the Client's prior consent.

Financial Planning Services

Worldview requires an advance deposit as described above. Either party may terminate the financial planning agreement by providing advance written notice to the other party. The Client may also terminate the financial planning agreement within five (5) business days of signing the Advisor's agreement at no cost to the Client. After the five-day period, the Client will incur charges for bona fide advisory services rendered to the point of termination and such fees will be due and payable by the Client. Upon termination, the Client shall be billed for actual hours logged on the planning project times the contractual hourly rate or in the case of a fixed fee engage, the percentage of the engagement scope completed by the Advisor. The Advisor will refund any unearned, prepaid planning fees from the effective date of termination. The Client's financial planning agreement with the Advisor is non-transferable without the Client's prior consent.

E. Compensation for Sales of Securities

Worldview does not buy or sell securities to earn commissions and does not receive any compensation for securities transactions in any Client account, other than the advisory fees noted above.

Item 6 – Performance-Based Fees and Side-By-Side Management

Worldview does not charge performance-based fees for its investment advisory services. The fees charged by Worldview are as described in Item 5 – Fees and Compensation above and are not based upon the capital appreciation of the funds or securities held by any Client.

Worldview does not manage any proprietary investment funds or limited partnerships (for example, a mutual fund or a hedge fund) and has no financial incentive to recommend any particular investment options to its Clients.

Item 7 – Types of Clients

Worldview offers investment advisory services to services to individuals, high net worth individuals, trusts, foundations and endowments, businesses, retirement plans ("clients") in the State of California and other states. The amount of each type of Client is available on Worldview's Form ADV Part 1A. These amounts may change

over time and are updated at least annually by the Advisor. Worldview generally does not impose a minimum relationship size.

Item 8 – Methods of Analysis, Investment Strategies and Risk of Loss

A. Methods of Analysis

Worldview primarily employs a fundamental analysis method in developing investment strategies for its Clients. Research and analysis from Worldview are derived from numerous sources, including financial media companies, third-party research materials, Internet sources, and review of company activities, including annual reports, prospectuses, press releases and research prepared by others. We employ a dynamic investment process with a foundation in asset allocation and traditional valuation techniques. Our goal is to provide consistent investment returns while closely controlling the risk of significant losses.

Fundamental analysis utilizes economic and business indicators as investment selection criteria. This criteria consists generally of ratios and trends that may indicate the overall strength and financial viability of the entity being analyzed. Assets are deemed suitable if they meet certain criteria to indicate that they are a strong investment with a value discounted by the market. While this type of analysis helps the Advisor in evaluating a potential investment, it does not guarantee that the investment will increase in value. Assets meeting the investment criteria utilized in the fundamental analysis may lose value and may have negative investment performance. The Advisor monitors these economic indicators to determine if adjustments to strategic allocations are appropriate. More details on the Advisor's review process are included below in Item 13 – Review of Accounts.

Our investment strategy is based on efficient asset allocation with a strong emphasis on global diversification. Studies show that asset allocation, which is the mix of different asset classes within a portfolio, is the primary factor in determining investment returns. We build portfolios around a target asset allocation model and constantly evaluate our exposure to various asset classes, sectors, investment styles, geographic regions and currencies. We add value to client portfolios by anticipating trends in the global economy and investment markets and by positioning portfolios to benefit from these trends.

As noted above, Worldview generally employs a long-term investment strategy for its Clients, as consistent with their financial goals. Worldview will typically hold all or a portion of a security for more than a year, but may hold for shorter periods for the purpose of rebalancing a portfolio or meeting the cash needs of Clients. At times, Worldview may also buy and sell positions that are more short-term in nature, depending on the goals of the Client and/or the fundamentals of the security, sector or asset class.

B. Risk of Loss

Investing in securities involves certain investment risks. Securities may fluctuate in value or lose value. Clients should be prepared to bear the potential risk of loss. Worldview will assist Clients in determining an appropriate strategy based on their tolerance for risk and other factors noted above. However, there is no guarantee that a Client will meet their investment goals.

While the methods of analysis help the Advisor in evaluating a potential investment, it does not guarantee that the investment will increase in value. Assets meeting the investment criteria utilized in these methods of analysis may lose value and may have negative investment performance. The Advisor monitors these economic indicators to determine if adjustments to strategic allocations are appropriate. More details on the Advisor's review process are included below in Item 13 – Review of Accounts.

Each Client engagement will entail a review of the Client's investment goals, financial situation, time horizon, tolerance for risk and other factors to develop an appropriate strategy for managing a Client's account. Client participation in this process, including full and accurate disclosure of requested information, is essential for the analysis of a Client's account[s]. The Advisor shall rely on the financial and other information provided by the Client or their designees without the duty or obligation to validate the accuracy and completeness of the provided

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information. It is the responsibility of the Client to inform the Advisor of any changes in financial condition, goals or other factors that may affect this analysis.

The risks associated with a particular strategy are provided to each Client in advance of investing Client accounts. The Advisor will work with each Client to determine their tolerance for risk as part of the portfolio construction process. Following are some of the risks associated with certain components of the Advisor's strategies:

Market Risks

The value of a Client's holdings may fluctuate in response to events specific to companies or markets, as well as economic, political, or social events in the U.S. and abroad. This risk is linked to the performance of the overall financial markets.

ETF Risks

The performance of ETFs is subject to market risk, including the possible loss of principal. The price of the ETFs will fluctuate with the price of the underlying securities that make up the funds. In addition, ETFs have a trading risk based on the loss of cost efficiency if the ETFs are traded actively and a liquidity risk if the ETFs has a large bid-ask spread and low trading volume. The price of an ETF fluctuates based upon the market movements and may dissociate from the index being tracked by the ETF or the price of the underlying investments. An ETF purchased or sold at one point in the day may have a different price than the same ETF purchased or sold a short time later.

Bond ETFs

Bond ETFs are subject to specific risks, including the following: (1) interest rate risks, i.e. the risk that bond prices will fall if interest rates rise, and vice versa, the risk depends on two things, the bond's time to maturity, and the coupon rate of the bond. (2) reinvestment risk, i.e. the risk that any profit gained must be reinvested at a lower rate than was previously being earned, (3) inflation risk, i.e. the risk that the cost of living and inflation increase at a rate that exceeds the income investment thereby decreasing the investor's rate of return, (4) credit default risk, i.e. the risk associated with purchasing a debt instrument which includes the possibility of the company defaulting on its repayment obligation, (5) rating downgrades, i.e. the risk associated with a rating agency's downgrade of the company's rating which impacts the investor's confidence in the company's ability to repay its debt and (6) Liquidity Risks, i.e. the risk that a bond may not be sold as quickly as there is no readily available market for the bond.

Mutual Fund Risks

The performance of mutual funds is subject to market risk, including the possible loss of principal. The price of the mutual funds will fluctuate with the value of the underlying securities that make up the funds. The price of a mutual fund is typically set daily therefore a mutual fund purchased at one point in the day will typically have the same price as a mutual fund purchased later that same day.

Alternative Investments (Limited Partnerships)

The performance of alternative investments (limited partnerships) can be volatile and may have limited liquidity. An investor could lose all or a portion of their investment. Such investments often have concentrated positions and investments that may carry higher risks. Client should only have a portion of their assets in these investments.

Concentrated Portfolios

Concentrated portfolios are an aggressive and highly volatile approach to trading and investing and should be viewed as complementary to a stable, highly predictable investment approach. Concentrated portfolios hold fewer different stocks than a diversified portfolio and are much more likely to experience sudden dramatic price swings. In addition, the rise or drop in price of any given holding in the portfolio is likely to have a larger impact on portfolio performance, than a more broadly diversified portfolio.

Frequent Trading

Frequent trading in securities can result in higher transaction costs in the Client's account[s]. For taxable accounts, frequent trading can also result in taxable transactions each year that would not be present in a buy-and-hold strategy. There are no guarantees that a frequent trading strategy will correctly time purchases and sales of any particular security.

Real Estate Investment Trusts ("REITs")

Investing in Real Estate Investment Trusts ("REITs") involves certain distinct risks in addition to those risks associated with investing in the real estate industry in general. For Example, equity REITs may be affected by changes in the value of the underlying property owned by the REITs, while mortgage REITs may be affected by the quality of credit extended. REITs are subject to heavy cash flow dependency, default by borrowers and self-liquidation. REITs, especially mortgage REITs, are also subject to interest rate risk (i.e., as interest rates rise, the value of the REIT may decline).

Oil and Gas Interests

Investing oil and gas interest whether directly or as part of a fund/ETF involves distinct risks. The price of oil and gas interests may fluctuate to a greater degree than other securities and contain additional risks based on the supply and demand for oil and gas. Some of these additional risks include, the ability to obtain reliable oil and gas supply, oil and gas reserve estimates, the ability to locate markets for oil and gas, fluctuations in prices. The values of oil and gas interests are subject to market risk by a range of variables that could cause trends to differ materially.

Past performance is not a guarantee of future returns. Investing in securities and other investments involve a risk of loss that each Client should understand and be willing to bear. Clients are reminded to discuss these risks with the Advisor.

Item 9 – Disciplinary Information

Securities laws require an advisor to disclose any instances where the advisor or its advisors Persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and over statutes; fraud; false statements or missions; theft, embezzlement or wrongful taking of property; bribery forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. On August 9, 2011, a former client filed a civil complaint in the Superior Court of The State of Arizona. The complaint alleged that Andrew Fisher and Worldview advisors had provided unsuitable investment advice related to the liquidation of a variable annuity. Worldview disagreed with the allegations and formed a legal defense team. On March 27, 2012, a private settlement was reached between the parties. The parties agreed the terms of the settlement would be held in the strictest confidence. The parties further agreed the settlement would not be construed as an admission of liability by Worldview relating to allegations contained in the dismissed civil complaint.

You may independently view the background of the Advisor on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with the firm name or the Advisor's CRD# 138891.

Item 10 – Other Financial Industry Activities and Affiliations

The sole business of Worldview and it's Advisory Persons is to provide investment advisory services to its Clients. Neither Worldview nor its Advisory Persons are involved in other business endeavors. Worldview does not maintain any affiliations with other firms, other than contracted service providers to assist with the servicing of its Client's accounts.

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Item 11 – Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

A. Code of Ethics

Worldview has implemented a Code of Ethics (the “Code”) that defines our fiduciary commitment to each Client. This Code applies to all persons associated with Worldview (our “Supervised Persons”). The Code was developed to provide general ethical guidelines and specific instructions regarding our duties to you, our Client. Worldview and its Supervised Persons owe a duty of loyalty, fairness and good faith towards each Client. It is the obligation of Worldview’s Supervised Persons to adhere not only to the specific provisions of the Code, but also to the general principles that guide the Code. The Code covers a range of topics that address employee ethics and conflicts of interest. To request a copy of our Code, please contact us at (415) 671-4145 or via email at compliance@worldviewwealth.com.

B. Personal Trading with Material Interest

Worldview allows our Supervised Persons to purchase or sell the same securities that may be recommended to and purchased on behalf of Clients. Worldview does not act as principal in any transactions. In addition, the Advisor does not act as the general partner of a fund, or advise an investment company. Worldview does not have a material interest in any securities traded in Client accounts.

C. Personal Trading in Same Securities as Clients

Worldview allows our Supervised Persons to purchase or sell the same securities that may be recommended to and purchased on behalf of Clients. Owning the same securities we recommend (purchase or sell) to you presents a conflict of interest that, as fiduciaries, we must disclose to you and mitigate through policies and procedures. As noted above, we have adopted the Code to address insider trading (material non-public information controls); gifts and entertainment; outside business activities and personal securities reporting. When trading for personal accounts, Supervised Persons may have a conflict of interest if trading in the same securities. The fiduciary duty to act in the best interest of its Clients can potentially be violated if personal trades are made with more advantageous terms than Client trades, or by trading based on material non-public information. This risk is mitigated by Worldview requiring reporting of personal securities trades by its Supervised Persons for review by the Chief Compliance Officer (“CCO”) or delegate by conducting a coordinated review of personal accounts and the accounts of the Clients. We have also adopted written policies and procedures to detect the misuse of material, non-public information.

D. Personal Trading at Same Time as Client

While Worldview allows our Supervised Persons to purchase or sell the same securities that may be recommended to and purchased on behalf of Clients, such trades are typically aggregated with Client orders or traded afterwards. **At no time will Worldview, or any Supervised Person of Worldview, transact in any security to the detriment of any Client.**

Item 12 – Brokerage Practices

A. Recommendation of Custodian[s]

Worldview does not have discretionary authority to select the broker-dealer/custodian for custody and execution services. The Client will engage the broker-dealer/custodian (herein the “Custodian”) to safeguard Client assets and authorize Worldview to direct trades to the Custodian as agreed upon in the investment advisory agreement. Further, Worldview does not have the discretionary authority to negotiate commissions on behalf of our Clients on a trade-by-trade basis.

Where Worldview does not exercise discretion over the selection of the Custodian, it may recommend the Custodian[s] to Clients for custody and execution services. Clients are not obligated to use the Custodian recommended by the Advisor and will not incur any extra fee or cost associated with using a Custodian not recommended by Worldview. However, the Advisor may be limited in the services it can provide if the

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recommended Custodian is not engaged. Worldview may recommend the Custodian based on criteria such as, but not limited to, reasonableness of commissions charged to the Client, services made available to the Client, and its reputation and/or the location of the Custodian's offices.

Worldview will generally recommend that Clients establish their account[s] at Charles Schwab & Co., Inc ("Schwab") a FINRA-registered broker-dealer and member SIPC, or with Fidelity Brokerage Services ("Fidelity") a FINRA-registered broker-dealer and member SIPC. Schwab or Fidelity will serve as the Client's "qualified custodian". Worldview maintains an institutional relationship with both Schwab and Fidelity whereby the Advisor receives economic benefits from Schwab and Fidelity (Please see Item 14 – Client Referrals and Other Compensation below).

Following are additional details regarding the brokerage practices of the Advisor:

1. Soft Dollars - Soft dollars are revenue programs offered by broker-dealers/custodians whereby an advisor enters into an agreement to place security trades with a broker-dealer/custodian in exchange for research and other services. **Worldview does not participate in soft dollar programs sponsored or offered by any broker-dealer/custodian. However, the Advisor receives certain economic benefits from the Custodian. Please see Item 14 – Client Referrals and Other Compensation.**

2. Brokerage Referrals - Worldview does not receive any compensation from any third party in connection with the recommendation for establishing an account.

3. Directed Brokerage - All Clients are serviced on a "directed brokerage basis", where Worldview will place trades within the established account[s] at the Custodian designated by the Client. Further, all Client accounts are traded within their respective brokerage account[s]. The Advisor will not engage in any principal transactions (i.e., trade of any security from or to the Advisor's own account) or cross transactions with other Client accounts (i.e., purchase of a security into one Client account from another Client's account[s]). Worldview will not be obligated to select competitive bids on securities transactions and does not have an obligation to seek the lowest available transaction costs. These costs are determined by the Custodian.

B. Aggregating and Allocating Trades

The primary objective in placing orders for the purchase and sale of securities for Client accounts is to obtain the most favorable net results taking into account such factors as 1) price, 2) size of order, 3) difficulty of execution, 4) confidentiality and 5) skill required of the Custodian. Worldview will execute its transactions through the Custodian as authorized by the Client. Worldview may aggregate orders in a block trade or trades when securities are purchased or sold through the same broker-dealer for multiple (discretionary) accounts in the same trading day. If a block trade cannot be executed in full at the same price or time, the securities actually purchased or sold by the close of each business day must be allocated in a manner that is consistent with the initial pre-allocation or other written statement. This must be done in a way that does not consistently advantage or disadvantage any particular Client accounts.

Item 13 – Review of Accounts

A. Frequency of Reviews

Securities in Client accounts are monitored on a regular and continuous basis by Andrew Fisher, Chief Compliance Officer of Worldview. Formal reviews are generally conducted at least annually or more frequently depending on the needs of the Client.

B. Causes for Reviews

In addition to the investment monitoring noted in Item 13.A., each Client account shall be reviewed at least annually. Reviews may be conducted more frequently at the Client's request. Accounts may be reviewed as a result of major changes in economic conditions, known changes in the Client's financial situation, and/or large deposits or withdrawals in the Client's account[s]. The Client is encouraged to notify Worldview if changes occur

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in the Client's personal financial situation that might adversely affect the Client's investment plan. Additional reviews may be triggered by material market, economic or political events.

C. Review Reports

The Client will receive brokerage statements no less than quarterly from the Custodian. These brokerage statements are sent directly from the Custodian to the Client. The Client may also establish electronic access to the Custodian's website so that the Client may view these reports and their account activity. Client brokerage statements will include all positions, transactions and fees relating to the Client's account[s]. The Advisor may also provide Clients with periodic reports regarding their holdings, allocations, and performance.

Item 14 – Client Referrals and Other Compensation

A. Compensation Received by Worldview

Worldview may refer Clients to various unaffiliated, non-advisory professionals (e.g. attorneys, accountants, estate planners) to provide certain financial services necessary to meet the goals of its Clients. Likewise, Worldview may receive non-compensated referrals of new Clients from various third-parties.

Participation in Institutional Advisor Platform

Worldview has established an institutional relationship with both Fidelity and Schwab through their divisions dedicated to serving independent advisory firms like Worldview. As a registered investment advisor participating in these platforms, Worldview receives access to software and related support without cost because the Advisor renders investment management services to Clients that maintain assets at each custodian. Services provided by Fidelity and Schwab Advisor Services benefit the Advisor and many, but not all services provided by the custodians will benefit Clients. In fulfilling its duties to its Clients, the Advisor endeavors at all times to put the interests of its Clients first. Clients should be aware, however, that the receipt of economic benefits from a custodian creates a potential conflict of interest since these benefits may influence the Advisor's recommendation of this custodian over one that does not furnish similar software, systems support, or services.

Services that Benefit the Client – the custodians institutional brokerage services include access to a broad range of investment products, execution of securities transactions, and custody of Client's funds and securities. Through Fidelity and Schwab, the Advisor may be able to access certain investments and asset classes that the Client would not be able to obtain directly or through other sources. Further, the Advisor may be able to invest in certain mutual funds and other investments without having to adhere to investment minimums that might be required if the Client were to directly access the investments.

Services that May Indirectly Benefit the Client – Fidelity and Schwab provide participating advisors with access to technology, research, discounts and other services. In addition, the Advisor receives duplicate statements for Client accounts, the ability to deduct advisory fees, trading tools, and back office support services as part of its relationship with the custodian. These services are intended to assist the Advisor in effectively managing accounts for its Clients, but may not directly benefit all Clients.

Services that May Only Benefit the Advisor – Fidelity and Schwab also offer other services and financial support to Worldview that may not benefit the Client, including: educational conferences and events, financial start-up support, consulting services and discounts for various service providers. Access to these services creates a financial incentive for the Advisor to recommend Fidelity or Schwab, which results in a potential conflict of interest. Worldview believes, however, that the selection of Fidelity or Schwab as Custodian is in the best interests of its Clients.

B. Client Referrals from Solicitors

Worldview does not engage paid solicitors for Client referrals.

Item 15 – Custody

Worldview does not accept or maintain custody of any Client accounts, except for the authorized deduction of the Advisor's fees. All Clients must place their assets with a "qualified custodian". Clients are required to engage the Custodian to retain their funds and securities and direct Worldview to utilize that Custodian for the Client's security transactions. Clients should review statements provided by the Custodian and compare to any reports provided by Worldview to ensure accuracy, as the Custodian does not perform this review. For more information about custodians and brokerage practices, see Item 12 - Brokerage Practices.

If the Client gives the Advisor authority to move money from one account to another account, the Advisor may have custody of those assets. In order to avoid additional regulatory requirements, the Custodian and the Advisor have adopted safeguards to ensure that the money movements are completed in accordance with the Client's instructions.

Item 16 – Investment Discretion

Worldview generally has discretion over the selection and amount of securities to be bought or sold in Client accounts without obtaining prior consent or approval from the Client. However, these purchases or sales may be subject to specified investment objectives, guidelines, or limitations previously set forth by the Client and agreed to by Worldview. Discretionary authority will only be authorized upon full disclosure to the Client. The granting of such authority will be evidenced by the Client's execution of an investment advisory agreement containing all applicable limitations to such authority. All discretionary trades made by Worldview will be in accordance with each Client's investment objectives and goals.

Item 17 – Voting Client Securities

Worldview currently does not accept proxy-voting responsibility for any Client. Clients will receive proxy statements directly from the Custodian. The Advisor will assist in answering questions relating to proxies, however, the Client retains the sole responsibility for proxy decisions and voting.

For certain legacy clients Worldview did accept proxy-voting responsibility for securities held in Client accounts when provided by the Client. The advisory agreement between Worldview and the Client will generally specify whether or not Worldview has the authority to vote proxies on behalf of a particular Client.

Proxy Voting Policy and Procedures

In situations where Worldview continues to vote proxies for clients, Worldview shall vote proxies in the best interest of its Clients and shall not subrogate the Client interest to its own. Worldview monitors corporate actions through the Custodian. Worldview receives notice of upcoming proxy votes, meeting and record dates and other information on upcoming corporate actions by companies in which Worldview are shareholders. Clients may request a copy of Worldview's proxy voting records, free of charge, by contacting Worldview

Conflicts of Interest in the Voting Process

On occasion, a conflict of interest may exist between the Advisor and the client regarding the outcome of certain proxy votes. In such cases, the Advisor is committed to resolving the conflict in the best interest of the clients before we vote the proxy in question.

Client Direction of Voting

Although most of our Clients for whom we vote proxies authorize us to vote in accordance with our proxy voting policy, a Client may request that we vote its proxies in accordance with a different policy. We try to accommodate such requests. In addition, a Client may direct us to vote its securities in a particular way on a particular proposal and we will seek to do so, assuming timely receipt of the instruction.

Item 18 – Financial Information

Neither Worldview, nor its management, have any adverse financial situations that would reasonably impair the ability of Worldview to meet all obligations to its Clients. Neither Worldview, nor any of its Advisory Persons, have been subject to a bankruptcy or financial compromise. Worldview is not required to deliver a balance sheet along with this Disclosure Brochure as the Advisor does not collect advance fees of \$1,200 or more for services to be performed six months or more in the future.

Privacy Policy

Effective: December 3, 2019

Our Commitment to You

Maxim Capital Management LLC ("Worldview" or the "Advisor") is committed to safeguarding the use of personal information of our Clients (also referred to as "you" and "your") that we obtain as your Investment Advisor, as described here in our Privacy Policy ("Policy").

Our relationship with you is our most important asset. We understand that you have entrusted us with your private information, and we do everything that we can to maintain that trust. Worldview (also referred to as "we", "our" and "us") protects the security and confidentiality of the personal information we have and implements controls to ensure that such information is used for proper business purposes in connection with the management or servicing of our relationship with you.

Worldview does not sell your non-public personal information to anyone. Nor do we provide such information to others except for discrete and reasonable business purposes in connection with the servicing and management of our relationship with you, as discussed below.

Details of our approach to privacy and how your personal non-public information is collected and used are set forth in this Policy.

Why you need to know?

Registered Investment Advisors ("RIAs") must share some of your personal information in the course of servicing your account. Federal and State laws give you the right to limit some of this sharing and require RIAs to disclose how we collect, share, and protect your personal information.

What information do we collect from you?

Driver's license number	Date of birth
Social security or taxpayer identification number	Assets and liabilities
Name, address and phone number(s)	Income and expenses
E-mail address(es)	Investment activity
Account information (including other institutions)	Investment experience and goals

What Information do we collect from other sources?

Custody, brokerage and advisory agreements	Account applications and forms
Other advisory agreements and legal documents	Investment questionnaires and suitability documents
Transactional information with us or others	Other information needed to service account

How do we protect your information?

To safeguard your personal information from unauthorized access and use we maintain physical, procedural and electronic security measures. These include such safeguards as secure passwords, encrypted file storage and a secure office environment. Our technology vendors provide security and access control over personal information and have policies over the transmission of data. Our associates are trained on their responsibilities to protect Client's personal information.

We require third parties that assist in providing our services to you to protect the personal information they receive from us.

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How do we share your information?

An RIA shares Client personal information to effectively implement its services. In the section below, we list some reasons we may share your personal information.

Basis For Sharing	Do we share?	Can you limit?
Servicing our Clients We may share non-public personal information with non-affiliated third parties (such as administrators, brokers, custodians, regulators, credit agencies, other financial institutions) as necessary for us to provide agreed upon services to you, consistent with applicable law, including but not limited to: processing transactions; general account maintenance; responding to regulators or legal investigations; and credit reporting.	Yes	No
Marketing Purposes Worldview does not disclose, and does not intend to disclose, personal information with non-affiliated third parties to offer you services. Certain laws may give us the right to share your personal information with financial institutions where you are a customer and where Worldview or the client has a formal agreement with the financial institution. We will only share information for purposes of servicing your accounts, not for marketing purposes.	No	Not Shared
Authorized Users Your non-public personal information may be disclosed to you and persons that we believe to be your authorized agent(s) or representative(s).	Yes	Yes
Information About Former Clients Worldview does not disclose and does not intend to disclose, non-public personal information to non-affiliated third parties with respect to persons who are no longer our Clients.	No	Not Shared

State-specific Regulations

California	In response to a California law, to be conservative, we assume accounts with California addresses do not want us to disclose personal information about you to non-affiliated third parties, except as permitted by California law. We also limit the sharing of personal information about you with our affiliates to ensure compliance with California privacy laws.
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Changes to our Privacy Policy

We will send you a copy of this Policy annually for as long as you maintain an ongoing relationship with us.

Periodically we may revise this Policy and will provide you with a revised Policy if the changes materially alter the previous Privacy Policy. We will not, however, revise our Privacy Policy to permit the sharing of non-public personal information other than as described in this notice unless we first notify you and provide you with an opportunity to prevent the information sharing.

Any Questions?

You may ask questions or voice any concerns, as well as obtain a copy of our current Privacy Policy by contacting us at (415) 671-4145 or via email at compliance@worldviewwealth.com.

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Form ADV Part 2B – Brochure Supplement

for

**Andrew M. Fisher
President and Chief Compliance Officer**

Effective: December 3, 2019

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Andrew M. Fisher (CRD# 2917271) in addition to the information contained in the Maxim Capital Management LLC (“Worldview” or the “Advisor”, CRD# 138891) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Worldview Disclosure Brochure or this Brochure Supplement, please contact us at (415) 671-4145 or by email at compliance@worldviewwealth.com.

Additional information about Mr. Fisher is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 2917271.

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Item 2 – Educational Background and Business Experience

Andrew M. Fisher, born in 1971, is dedicated to advising Clients of Worldview as the President and Chief Compliance Officer. Mr. Fisher earned Andrew graduated cum laude in 1994 from Cal Poly University, San Luis Obispo, with a degree in Finance and a minor in Spanish Additional information regarding Mr. Fisher's employment history is included below. He holds the CFA and CPA credentials.

Employment History:

Worldview Wealth Advisors, President	10/2005 to Present
Chinook Capital Management, V.P. of Investment and Client Services	10/2002 to 11/2005
Octago Software, Chief Financial Officer	09/2001 to 07/2002
Montgomery Asset Management, International Equity Analyst	07/1998 to 04/2002
Advanced Telcom Group, Inc, Executive Director of Corporate Development	08/2000 to 06/2001

Chartered Financial Analyst ("CFA®")

The Chartered Financial Analyst ("CFA®") charter is a professional designation established in 1962 and awarded by CFA® Institute. To earn the CFA® charter, candidates must pass three sequential, six-hour examinations over two to four years. The three levels of the CFA® Program test a wide range of investment topics, including ethical and professional standards, fixed-income analysis, alternative and derivative investments, and portfolio management and wealth planning. In addition, CFA® charterholders must have at least four years of acceptable professional experience in the investment decision-making process and must commit to abide by, and annually reaffirm, their adherence to the CFA® Institute Code of Ethics and Standards of Professional Conduct. CFA® is a trademark owned by CFA® Institute.

Certified Public Accountant ("CPA")

CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two-year period or 120 hours over a three-year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous Code of Professional Conduct which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA's Code of Professional Conduct within their state accountancy laws or have created their own.

Item 3 – Disciplinary Information

There are no legal, civil or disciplinary events to disclose regarding Mr. Fisher. Mr. Fisher has never been involved in any material regulatory, civil or criminal action.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. **As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Fisher.**

However, we do encourage you to independently view the background of Mr. Fisher on the Investment Adviser

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Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 2917271.

Item 4 – Other Business Activities

Mr. Fisher is dedicated to the investment advisory activities of Worldview's Clients. Mr. Fisher does not have any other business activities.

Item 5 – Additional Compensation

Mr. Fisher is dedicated to the investment advisory activities of Worldview's Clients. Mr. Fisher does not receive any additional forms of compensation.

Item 6 – Supervision

Mr. Fisher serves as the President and Chief Compliance Officer of Worldview. Mr. Fisher can be reached at (415) 671-4145.

Worldview has implemented a Code of Ethics, an internal compliance document that guides each Supervised Person in meeting their fiduciary obligations to Clients of Worldview. Further, Worldview is subject to regulatory oversight by various agencies. These agencies require registration by Worldview and its Supervised Persons. As a registered entity, Worldview is subject to examinations by regulators, which may be announced or unannounced. Worldview is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.



Form ADV Part 2B – Brochure Supplement

for

**Broderick J. Luebke
Wealth Advisor**

Effective: December 3, 2019

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Broderick J. Luebke (CRD# 6446803) in addition to the information contained in the Maxim Capital Management LLC (“Worldview” or the “Advisor”, CRD# 138891) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Worldview Disclosure Brochure or this Brochure Supplement, please contact us at (415) 671-4145 or by email at compliance@worldviewwealth.com.

Additional information about Mr. Luebke is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 6446803.

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Item 2 – Educational Background and Business Experience

Broderick J. Luebkekan, born in 1990, is dedicated to advising Clients of Worldview as a Wealth Advisor. Mr. Luebkekan earned a Bachelor of Arts, International Development, Public Relations from Point Loma Nazarene University in California. Additional information regarding Mr. Luebkekan's employment history is included below.

Employment History:

Worldview Wealth Advisors, Wealth Advisor	09/2017 to Present
Lincoln Financial Advisors, Registered Representative	05/2015 to 09/2017
Lincoln Financial Advisors, Marketing Assistant	02/2015 to 05/2015
Peet's Coffee & Tea, Associate	09/2014 to 05/2015

Item 3 – Disciplinary Information

There are no legal, civil or disciplinary events to disclose regarding Mr. Luebkekan. Mr. Luebkekan has never been involved in any material regulatory, civil or criminal action.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Luebkekan.***

However, we do encourage you to independently view the background of Mr. Luebkekan on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 6446803.

Item 4 – Other Business Activities

Mr. Luebkekan is dedicated to the investment advisory activities of Worldview's Clients. Mr. Luebkekan does not have any other business activities.

Item 5 – Additional Compensation

Mr. Luebkekan is dedicated to the investment advisory activities of Worldview's Clients. Mr. Luebkekan does not receive any additional forms of compensation.

Item 6 – Supervision

Mr. Luebkekan serves as a Wealth Advisor of Worldview and is supervised by Andrew Fisher, the Chief Compliance Officer. Mr. Fisher can be reached at (415) 671-4145.

Worldview has implemented a Code of Ethics, an internal compliance document that guides each Supervised Person in meeting their fiduciary obligations to Clients of Worldview. Further, Worldview is subject to regulatory oversight by various agencies. These agencies require registration by Worldview and its Supervised Persons. As a registered entity, Worldview is subject to examinations by regulators, which may be announced or unannounced. Worldview is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.



Form ADV Part 2B – Brochure Supplement

for

**Elizabeth B. Dawson
Wealth Advisor**

Effective: December 3, 2019

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Elizabeth B. Dawson (CRD# 2089168) in addition to the information contained in the Maxim Capital Management LLC (“Worldview” or the “Advisor”, CRD# 138891) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Worldview Disclosure Brochure or this Brochure Supplement, please contact us at (415) 671-4145 or by email at compliance@worldviewwealth.com.

Additional information about Mrs. Dawson is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with her full name or her Individual CRD# 2089168.

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Item 2 – Educational Background and Business Experience

Elizabeth B. Dawson, born in 1968, is dedicated to advising Clients of Worldview as a Wealth Advisor. Mrs. Dawson earned an MBA from INSEAD in 1996. Mrs. Dawson also earned a BA from Yale University in 1990. Additional information regarding Mrs. Dawson's employment history is included below.

Employment History:

Worldview Wealth Advisors, Wealth Advisor	02/2017 to Present
Unemployed	08/2008 to 02/2017
President, GBC Asset Management	01/2006 to 08/2008

Item 3 – Disciplinary Information

There are no legal, civil or disciplinary events to disclose regarding Mrs. Dawson. Mrs. Dawson has never been involved in any material regulatory, civil or criminal action.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mrs. Dawson.***

However, we do encourage you to independently view the background of Mrs. Dawson on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with her full name or her Individual CRD# 2089168.

Item 4 – Other Business Activities

Mrs. Dawson is dedicated to the investment advisory activities of Worldview's Clients. Mrs. Dawson does not have any other business activities.

Item 5 – Additional Compensation

Mrs. Dawson is dedicated to the investment advisory activities of Worldview's Clients. Mrs. Dawson does not receive any additional forms of compensation.

Item 6 – Supervision

Mrs. Dawson serves as a Wealth Advisor of Worldview and is supervised by Andrew Fisher, the Chief Compliance Officer. Mr. Fisher can be reached at (415) 671-4145.

Worldview has implemented a Code of Ethics, an internal compliance document that guides each Supervised Person in meeting their fiduciary obligations to Clients of Worldview. Further, Worldview is subject to regulatory oversight by various agencies. These agencies require registration by Worldview and its Supervised Persons. As a registered entity, Worldview is subject to examinations by regulators, which may be announced or unannounced. Worldview is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.



Form ADV Part 2B – Brochure Supplement

for

**Bonnie N. Suveerachaimontian
Wealth Advisor**

Effective: December 3, 2019

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Bonnie N. Suveerachaimontian (CRD# 6771564) in addition to the information contained in the Maxim Capital Management LLC (“Worldview” or the “Advisor”, CRD# 138891) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Worldview Disclosure Brochure or this Brochure Supplement, please contact us at (415) 671-4145 or by email at compliance@worldviewwealth.com.

Additional information about Ms. Suveerachaimontian is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with her full name or her Individual CRD# 6771564.

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Item 2 – Educational Background and Business Experience

Bonnie N. Suveerachaimontian, born in 1985, is dedicated to advising Clients of Worldview as a Wealth Advisor. Ms. Suveerachaimontian earned a MS in Financial Planning from Golden Gate University in 2012. Ms. Suveerachaimontian also earned a BS Business Management Economics from University of California at Santa Cruz in 2007. Additional information regarding Ms. Suveerachaimontian's employment history is included below.

Employment History:

Worldview Wealth Advisors, Wealth Advisor	09/2016 to Present
Wealth Advisor, BlueSky Wealth Advisors	09/2015 to 08/2016
Financial Planner, LifeStream Financial Inc	03/2010 to 09/2015
Operations Administrator, Pensco Trust Company	10/2007 to 03/2011

Item 3 – Disciplinary Information

There are no legal, civil or disciplinary events to disclose regarding Ms. Suveerachaimontian. Ms. Suveerachaimontian has never been involved in any material regulatory, civil or criminal action.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Ms. Suveerachaimontian.***

However, we do encourage you to independently view the background of Ms. Suveerachaimontian on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with her full name or her Individual CRD# 6771564.

Item 4 – Other Business Activities

Ms. Suveerachaimontian is dedicated to the investment advisory activities of Worldview's Clients. Ms. Suveerachaimontian does not have any other business activities.

Item 5 – Additional Compensation

Ms. Suveerachaimontian is Dedicated to the investment advisory activities of Worldview's Clients. Ms. Suveerachaimontian does not receive any additional forms of compensation.

Item 6 – Supervision

Ms. Suveerachaimontian serves as a Wealth Advisor of Worldview and is supervised by Andrew Fisher, the Chief Compliance Officer. Mr. Fisher can be reached at (415) 671-4145.

Worldview has implemented a Code of Ethics, an internal compliance document that guides each Supervised Person in meeting their fiduciary obligations to Clients of Worldview. Further, Worldview is subject to regulatory oversight by various agencies. These agencies require registration by Worldview and its Supervised Persons. As a registered entity, Worldview is subject to examinations by regulators, which may be announced or unannounced. Worldview is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.