



# REALTA WEALTH

**John E. Frick**

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**888.657.5200**

**This Brochure Supplement provides information about John E. Frick that supplements the Realta Investment Advisors, Inc. ("RIA")'s Brochure. You should have received a copy of that Brochure. Please contact Mr. Barrett Schultz at (888) 657-5200 if you did not receive RIA's Brochure or if you have any questions about the contents of this supplement.**

**Additional information about John E. Frick is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## ITEM 2- EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

John E. Frick was born in 1975 and attended Wharton Executive Education at the University of Pennsylvania, where he successfully completed the Certified Investment Management Analyst® (CIMA®) educational component. John has held Investment Consulting positions for over 20 years with Merrill Lynch, Wachovia Wealth Management and most recently Fulton Financial Advisors/Raymond James where he successfully managed Core Strategies (private custom portfolio management) for over 8 years.

John began his career as a Financial Consultant with Merrill Lynch in 1999. After successfully graduating from Merrill's training program, he spent 4 years with the firm before moving to Wachovia Wealth Management in 2003. John spent the next 6 years working in Wachovia's high net worth division where he delivered custom investment solutions for the bank's most elite clients.

John joined Fulton Financial Advisors/Raymond James Financial Services in March of 2009, where he focused on creating a custom investment solution focused on risk management. He founded Core Strategies which many FFA advisors used as a solution to meet their client investment needs. As of June 1, 2018, Core Strategies had grown to \$194 million in assets.

John currently holds the CIMA® designation through Investments & Wealth Institute (formerly IMCA.)

Certified Investment Management Analyst® (CIMA®)

Candidates must have three years of financial services experience, and a satisfactory record of ethical conduct. Candidates must complete an education component at The Wharton School, University of Pennsylvania, or online through Yale School of Management and pass a qualification exam and certification exam. Forty hours of continuing education every two years is required to maintain this designation.

## ITEM 3- DISCIPLINARY INFORMATION

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. There are no legal or disciplinary event(s) to disclose. Additional information about your Financial Advisor is available at [www.finra.org/brokercheck](http://www.finra.org/brokercheck) or [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## ITEM 4- OTHER BUSINESS ACTIVITIES

John E. Frick is licensed to sell securities through Realta Equities, Inc. ("REI"), a securities broker/dealer registered with the Financial Industry Regulatory Authority ("FINRA"). In this capacity, John is involved in the sale of investment products such as securities, mutual funds and variable products. If an advisory client implements recommendations made by John by purchasing securities or other products through REI, John will receive additional compensation in the form of commissions for the sale of such products. John spends approximately 1% of his professional time in his capacities at REI.

John is also a licensed insurance agent. John may recommend insurance products to advisory clients. He is paid a commission for selling such products. He spends approximately 1% of his time in his capacity as an insurance agent.

#### ITEM 5- ADDITIONAL COMPENSATION

Aside from the activities discussed in Item 4 above, John receives no economic benefit from any non-client third party.

#### ITEM 6- SUPERVISION

Mr. Barrett Schultz (Chief Compliance Officer) and designated supervisors monitor the investment advisory activities, personal investing activities, and adherence to the Advisor's compliance program and code of ethics on a continuous basis using various methods, including periodic inspection and review of client securities positions and transaction activity, obtaining certifications of compliance with company policies and procedures from those supervised, and obtaining and reviewing brokerage statements or transactions and holdings reports of the supervised persons. Mr. Schultz can be reached at 888.657.5200.