

Item 1: Cover Page
Part 2B of Form ADV: Brochure Supplement
October 2024

Nuthira Neal

NN Investment Advisory, LLC
438 El Sueno Road
Santa Barbara, California, 93110
www.nninvestmentadvisory.com

Firm Contact:
Nuthira Neal
Chief Compliance Officer

This brochure supplement provides information about Ms. Neal that supplements our brochure. You should have received a copy of that brochure. Please contact Nuthira Neal if you did not receive NN Investment Advisory, LLC's brochure or if you have any questions about the contents of this supplement. Additional information about Ms. Neal is available on the SEC's website at www.adviserinfo.sec.gov by searching CRD #7119728.

Item 2: Educational Background & Business Experience

Nuthira Neal

Year of Birth: 1966

Educational Background:

- 1998: New York University; Master of Arts in Social Work
- 1996: California State University Long Beach; Bachelor of Art in Social Work

Business Background:

- 08/2024 – Present NN Investment Advisory, LLC; Chief Compliance Officer and Managing Director
- 06/2019 – 06/2024 Edward Jones & CO., L.P; Financial Advisor

Exams, Licenses & Other Professional Designations:

- 2021– Accredited Asset Management Specialist (AAMS®)
- 2019 – Series 66 and Series 7 Examination

Accredited Asset Management Specialist (AAMS®)

The College for Financial Planning® awards the AAMS® designation to students who successfully complete the program, pass the final examination and comply with the Code of Ethics, which includes agreeing to abide by the Standards of Professional Conduct and Terms and Conditions. Applicants must also disclose of any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct. Conferment of the designation is contingent upon the College for Financial Planning's review of matters either self-disclosed or which are discovered by the College that are required to be disclosed. Continued use of the AAMS® designation is subject to ongoing renewal requirements. Every two years individuals must renew their right to continue using the AAMS® designation by completing 16 hours of continuing education and reaffirming to abide by the Standards of Professional Conduct, Terms and Conditions, and self disclose any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct.

Item 3: Disciplinary Information

There are no legal or disciplinary events material to your evaluation of Ms. Neal.

Item 4: Other Business Activities

Ms. Neal 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. Neal, as a fiduciary, will act in the client's best interest.

Item 5: Additional Compensation

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

Item 6: Supervision

Ms. Neal is the sole principal 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.

Item 7: Requirements for State-Registered Advisers

Ms. Neal 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.