

**Item 1 Cover Page for Brochure Supplement**

**IVÁN M. MENDOZA,**  
CFA, CFP®, ChFC, CLU, CDFA, CLTC,  
Managing Principal

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**MENDOZA**  
PRIVATE WEALTH

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**This brochure supplement provides information about Iván M. Mendoza, CRD# 4013969, that supplements the Mendoza Private Wealth brochure. You should have received a copy of that brochure. Please contact Iván M. Mendoza if you did not receive Mendoza Private Wealth's brochure or if you have any questions about the contents of this supplement.**

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

## Item 2 Educational Background and Business Experience

Iván M. Mendoza, CFA, CFP®, ChFC, CLU, CDFA, CLTC, Managing Principal, was born in 1975. Mr. Mendoza earned a Bachelor of Arts degree in Psychology from Florida International University, and a Master of Business Administration degree from the University of Florida.

Mr. Mendoza founded Mendoza Private Wealth in March 2016. Previously, Mr. Mendoza was a Registered Representative with Wells Fargo Advisors Financial Network, LLC (April 2016 to December 2023).

The **Chartered Financial Analyst** (CFA) designation or CFA charter was first introduced in 1963 as a well respected and recognized investment credential. **The CFA Program** is organized into three levels, each culminating in a six-hour exam. These three exams — Level I, Level II, and Level III — must be passed sequentially as one of the requirements for earning a CFA charter. Completing the Program takes most candidates between two and five years. **To earn a CFA charter**, an individual must have four years of qualified investment work experience, become a member of the CFA Institute, pledge to adhere to the CFA Institute Code of Ethics and Standards of Professional Conduct on an annual basis, apply for membership to a local CFA member society, and complete the CFA Program.

Mr. Mendoza is certified for financial planning services in the United States by the Certified Financial Planner Board of Standards, Inc. (“CFP Board”) and may therefore refer to himself as a **CERTIFIED FINANCIAL PLANNER™** professional or a CFP® professional. Mr. Mendoza may use these and CFP Board’s other certification marks (the “CFP Board Certification Marks”). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net).

CFP® professionals have met CFP Board’s high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- Education – Earn a bachelor’s degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- Examination – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual’s ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- Experience – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- Ethics – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board’s Code of Ethics and Standards of Conduct (“Code and Standards”), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board’s Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional's services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

A **Chartered Life Underwriter (CLU)** is a professional designation for individuals who wish to specialize in life insurance and estate planning. Individuals must complete five core courses and three elective courses, and successfully pass all eight two-hour, 100-question examinations in order to receive the designation.

**Chartered Financial Consultant (ChFC)** is a financial planning designation for the insurance industry awarded by the American College of Bryn Mawr. ChFCs must meet experience requirements and pass exams covering finance and investing. They must have at least three years of experience in the financial industry, and have studied and passed an examination on the fundamentals of financial planning, including income tax, insurance, investment and estate planning.

The **Certified Divorce Financial Analyst (CDFA)** certification is administered by the Institute for Divorce Financial Analysts (IDFA™) a national organization dedicated to the certification, education and promotion of the use of financial professionals in the divorce arena.

CDFA candidates learn how to help their clients with financial issues that will affect the rest of their lives, including:

- Personal vs. marital property
- Valuing and dividing property
- Retirement assets and pensions
- Spousal and child support
- Splitting the house
- Tax problems and solutions
- Expert witness testimony
- Tax law and financial issues affecting divorce.

The CDFA designation is available to individuals who have a minimum of three years' experience as a financial professional, accountant, or matrimonial lawyer. To earn the designation, the participant must complete a series of self-study course modules and pass an exam for each module.

The **Certification for Long-Term Care (CLTC®)** educates professionals in the fields of insurance, financial services, law and accounting about the severe consequences a need for care over an extended period of years would have, not on their client, but on the emotional, physical and financial wellbeing of those the client loves. The goal is to give these professionals the proper skill set to discuss those consequences, offer a plan to mitigate them, and when appropriate, recommend long-term care insurance as a funding source for that plan. Candidates for the CLTC® must study and pass a 100-question exam. Successful candidates must then abide by the principles specified in the CLTC® Code of Conduct and complete bi-annual continuing education.

### **Item 3 Disciplinary Information**

There are no legal or disciplinary events or proceedings to report concerning Mr. Mendoza.

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

Mr. Mendoza is not actively engaged in any investment-related or non-investment-related business or occupation outside of Mendoza Private Wealth.

### **Item 5 Additional Compensation**

Mr. Mendoza does not receive compensation or other economic benefit from anyone who is not a client for providing advisory services.

### **Item 6 Supervision**

Iván M. Mendoza is the Managing Principal and Chief Compliance Officer of Mendoza Private Wealth and can be reached at 305-503-5133 and is the only individual that provides investment advice to clients. As a single person firm, Mr. Mendoza cannot be supervised, but is a fiduciary by law and is required to act in the best interests of clients.

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

Mr. Mendoza has not been involved in an award or found liable in an arbitration claim, civil, or self-regulatory organization event or administrative proceeding, or been the subject of a bankruptcy petition.