

## Item 1 Cover Page

A.

LeAnn Mitchell

Alpha Omega Wealth Management, LLC

ADV Part 2B, Brochure Supplement

Dated: March 13, 2024

Contact: LeAnn Mitchell, Chief Compliance Officer  
7202 Glen Forest Drive, Suite 300  
Richmond, Virginia 23226

B.

**This Brochure Supplement provides information about LeAnn Mitchell that supplements the Alpha Omega Wealth Management, LLC Brochure; you should have received a copy of that Brochure. Please contact LeAnn Mitchell, Chief Compliance Officer, if you did *not* receive Alpha Omega Wealth Management, LLC's Brochure or if you have any questions about the contents of this supplement.**

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

## Item 2 Education Background and Business Experience

LeAnn Mitchell was born in 1968. Ms. Mitchell graduated from Bentley College in 1995 with a Bachelor of Science degree in Finance. Ms. Mitchell earned the designation of Chartered Retirement Planning Counselor from the College for Financial Planning in 2008. Ms. Mitchell has been the Chief Compliance Officer with Alpha Omega Wealth Management, LLC since May of 2009. Ms. Mitchell was employed as an Investment Associate with Suntrust Investment Services, Inc. from June of 2005 to May of 2009.

Ms. Mitchell has held the designation of Chartered Retirement Planning Counselor<sup>SM</sup> (CRPC<sup>®</sup>) since 2008. The College of Financial Planning<sup>®</sup> awards the CRPC<sup>®</sup> designation to applicants who complete the CRPC<sup>®</sup> professional education program, pass a final examination, commit to a code of ethics and agree to pursue continuing education. Continued use of the CRPC<sup>®</sup> designation is subject to ongoing renewal requirements. Every two (2) years the designee must

renew their right to continue using the CRPC® designation by completing 16 hours of continuing education and reaffirming to abide by the Standards of Professional Conduct.

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

Ms. Mitchell's annual compensation is based, in part, on the amount of assets under management that Ms. Mitchell introduces to the Registrant. Accordingly, Ms. Mitchell has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "*Act*"). The Registrant's Chief Compliance Officer, LeAnn Mitchell, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Mitchell (804) 955-1600.

## Item 1 Cover Page

A.

Christopher Lee Milligan

Alpha Omega Wealth Management, LLC

ADV Part 2B, Brochure Supplement

Dated: March 13, 2024

Contact: LeAnn Mitchell, Chief Compliance Officer

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**This Brochure Supplement provides information about Christopher Lee Milligan that supplements the Alpha Omega Wealth Management, LLC Brochure; you should have received a copy of that Brochure. Please contact LeAnn Mitchell, Chief Compliance Officer, if you did *not* receive Alpha Omega Wealth Management, LLC's Brochure or if you have any questions about the contents of this supplement.**

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

## Item 2 Education Background and Business Experience

Christopher Lee Milligan was born in 1988. Mr. Milligan graduated from the Virginia Military Institute in May 2011 with a Bachelor of Arts degree in Economics and Business with a concentration in Financial Management. While at the Virginia Military Institute, he served on the Cadet Investment Group from September 2010 until graduation. Mr. Milligan also did two summer internships (2009 and 2010) at the London Company Investment Counsel in Richmond, VA. Mr. Milligan has been employed as a Research Analyst with Alpha Omega Wealth Management, LLC since July of 2011 and was a student prior to this employment with Alpha Omega Wealth Management, LLC.

Mr. Milligan has been a CFA® Charterholder since 2018. CFA® designates an international professional certificate that is offered by the CFA Institute.

The Chartered Financial Analyst (CFA) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

There are currently more than 190,000 CFA charterholders working in 170 countries. To earn the CFA charter, candidates must: (1) pass three sequential, six-hour examinations; (2) have at least four years of qualified professional investment experience; (3) join CFA Institute as members; and (4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

### **High Ethical Standards**

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

### **Global Recognition**

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA charterholders—often making the charter a prerequisite for employment. Additionally, regulatory bodies in 38 countries/territories recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 466 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

### **Comprehensive and Current Knowledge**

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

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

Mr. Milligan's annual compensation is based, in part, on the amount of assets under management that Mr. Milligan introduces to the Registrant. Accordingly, Mr. Milligan has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

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## Item 1 Cover Page

A.

Carl Garrett Lind

Alpha Omega Wealth Management, LLC

ADV Part 2B, Brochure Supplement

Dated: March 13, 2024

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

## Item 2 Education Background and Business Experience

Carl Garrett Lind was born in 1952. Mr. Lind graduated from Virginia Tech in 1974 with a Bachelor of Arts degree in History. Mr. Lind has been employed as a Senior Investment Manager with Alpha Omega Wealth Management, LLC since November of 2016. From May 1997 through November 2016, Mr. Lind was a Principal of Diveley Lind & Associates.

Mr. Lind has been a CERTIFIED FINANCIAL PLANNER™ since 1990.

Mr. Lind is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, he may refer to himself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and he 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. CFP Board implemented the bachelor's degree or higher requirement in 2007 and the financial planning development capstone course requirement in March 2012. Therefore, a CFP® professional who first became certified before those dates may not have earned a bachelor's or higher degree or completed a financial planning development capstone course.
- **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.

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

Mr. Lind does not receive any additional compensation.

### **Item 6 Supervision**

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## Item 1 Cover Page

A.

Holly Marie Ruff

Alpha Omega Wealth Management, LLC

ADV Part 2B, Brochure Supplement

Dated: March 13, 2024

Contact: LeAnn Mitchell, Chief Compliance Officer  
7202 Glen Forest Drive, Suite 300  
Richmond, Virginia 23226

B.

**This Brochure Supplement provides information about Holly Marie Ruff that supplements the Alpha Omega Wealth Management, LLC Brochure; you should have received a copy of that Brochure. Please contact LeAnn Mitchell, Chief Compliance Officer, if you did *not* receive Alpha Omega Wealth Management, LLC's Brochure or if you have any questions about the contents of this supplement.**

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

## Item 2 Education Background and Business Experience

Holly Marie Ruff was born in 1977. Ms. Ruff graduated from the University of Virginia in 1999 with a Bachelor of Arts degree in Mathematics and Economics. Ms. Ruff has been employed as a Financial Advisor and Research Analyst with Alpha Omega Wealth Management, LLC since November of 2016. From March 2005 through November 2016, Ms. Ruff was an investment advisor representative of Diveley Lind & Associates.

Ms. Ruff has been a CFA<sup>®</sup> Charterholder since 2004. CFA<sup>®</sup> designates an international professional certificate that is offered by the CFA Institute.

The Chartered Financial Analyst (CFA) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

There are currently more than 190,000 CFA charterholders working in 170 countries. To earn the CFA charter, candidates must: (1) pass three sequential, six-hour examinations; (2) have at least four years of qualified professional investment experience; (3) join CFA Institute as members; and (4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

### **High Ethical Standards**

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

### **Global Recognition**

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA charterholders—often making the charter a prerequisite for employment. Additionally, regulatory bodies in 38 countries/territories recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 466 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

### **Comprehensive and Current Knowledge**

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

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

Ms. Ruff's annual compensation is based, in part, on the amount of assets under management that Ms. Ruff introduces to the Registrant. Accordingly, Ms. Ruff has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### **Item 6 Supervision**

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## Item 1 Cover Page

A.

Cleighton L. Hilbert, Jr.

Alpha Omega Wealth Management, LLC

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Dated: March 13, 2024

Contact: LeAnn Mitchell, Chief Compliance Officer  
7202 Glen Forest Drive, Suite 300  
Richmond, Virginia 23226

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**This Brochure Supplement provides information about Cleighton L. Hilbert, Jr. that supplements the Alpha Omega Wealth Management, LLC Brochure; you should have received a copy of that Brochure. Please contact LeAnn Mitchell, Chief Compliance Officer, if you did *not* receive Alpha Omega Wealth Management, LLC's Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Cleighton L. Hilbert, Jr. is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 Education Background and Business Experience

Cleighton L. Hilbert, Jr. was born in 1973. Mr. Hilbert graduated from Wake Forest University in 1996 with a Bachelor of Arts degree in Psychology and from Duke University, Fuqua School of Business in 2003 with a Master of Business Administration degree. Mr. Hilbert became Alpha Omega's Managing Partner in January 2021. From August 1996 through February 2018, Mr. Hilbert was a Senior Vice President and Director with Davenport & Company LLC.

Mr. Hilbert has held the designation of Certified Investment Management Analyst (CIMA<sup>®</sup>) since 2019. The CIMA certification signifies that an individual has met initial and on-going experience, ethics, education, and examination requirements for the job of investment management consulting, including advanced investment management theory and application. Prerequisites for the CIMA certification are three years of financial services experience and an acceptable ethical background/compliance history as decided in an admissions peer review process governed by the Ethics Board. To obtain the CIMA certification, candidates must

successfully complete a one-week classroom education program provided by a Registered Education Provider at an AACSB accredited university business school and pass a Certification Examination. CIMA designees are required to adhere to IWI's Code of Professional Responsibility and Guidance Document, Disciplinary Rules and Procedures, and Rules and Guidelines for Use of the Marks. CIMA designees must report 40 hours of continuing education credits, including two ethics and one tax/regulations hours, every two years to maintain the certification. The designation is administered through Investments and Wealth Institute® (IWI).

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

Mr. Hilbert does not receive any additional compensation.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "*Act*"). The Registrant's Chief Compliance Officer, LeAnn Mitchell, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Mitchell (804) 955-1600.

## Item 1 Cover Page

A.

Eric Fitzgerald

Alpha Omega Wealth Management, LLC

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Dated: March 13, 2024

Contact: LeAnn Mitchell, Chief Compliance Officer  
7202 Glen Forest Drive, Suite 300  
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**This Brochure Supplement provides information about Eric Fitzgerald that supplements the Alpha Omega Wealth Management, LLC Brochure; you should have received a copy of that Brochure. Please contact LeAnn Mitchell, Chief Compliance Officer, if you did *not* receive Alpha Omega Wealth Management, LLC's Brochure or if you have any questions about the contents of this supplement.**

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

## Item 2 Education Background and Business Experience

Eric Fitzgerald was born in 1988. Mr. Fitzgerald graduated from Carson-Newman University in 2010 with a Bachelor of Science degree in Healthcare Administration. Mr. Fitzgerald has been a Financial Advisor with Alpha Omega Wealth Management, LLC since February 2018. From July 2016 through January 2018, Mr. Fitzgerald was an Investment Advisor Representative with Tennessee Valley Asset Management Partners and an Administrative Assistant with LPL Financial. From May 2014 through June 2016, Mr. Fitzgerald was a Paraplanner with Wealth Management Corporation. From July 2010 through May 2014, Mr. Fitzgerald was a Client Service Manager with Day & Company PC.

Mr. Fitzgerald is a CERTIFIED FINANCIAL PLANNER™.

Mr. Fitzgerald is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, he may refer to himself as

a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and he 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. CFP Board implemented the bachelor's degree or higher requirement in 2007 and the financial planning development capstone course requirement in March 2012. Therefore, a CFP® professional who first became certified before those dates may not have earned a bachelor's or higher degree or completed a financial planning development capstone course.
- **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.

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

Mr. Fitzgerald's annual compensation is based, in part, on the amount of assets under management that Mr. Fitzgerald introduces to the Registrant. Accordingly, Mr. Fitzgerald has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

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## Item 1 Cover Page

A.

George Everett Bond Reveley

Alpha Omega Wealth Management, LLC

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**Additional information about George Everett Bond Reveley is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 Education Background and Business Experience

George Everett Bond Reveley was born in 1978. Mr. Reveley graduated from Princeton University in 2000 with a Bachelor of Arts degree in Economics, from Virginia Commonwealth University in 2001 with a Master of Arts degree in Economics and from the University of Virginia in 2006 with a Master of Business Administration degree. Mr. Reveley became a Partner Alpha Omega in January 2021 and has been a Senior Financial Advisor with the firm since April 2018. From August 2011 through April 2018, Mr. Reveley was a Vice President with Davenport & Company LLC.

Mr. Reveley has been a CERTIFIED FINANCIAL PLANNER™ since 2016.

Mr. Reveley is certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, he may refer to himself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and he 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).

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- **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.

Mr. Reveley became an Accredited Investment Fiduciary® (AIF®) in 2016. The AIF Designation certifies that the recipient has specialized knowledge of fiduciary standards of care and their application to the investment management process. To receive the AIF Designation, the individual must meet prerequisite criteria based on a combination of education, relevant industry experience, and/or ongoing professional development, complete a training program, successfully pass a comprehensive, closed-book final examination under the supervision of a proctor and agree to abide by the Code of Ethics and Conduct Standards. In order to maintain the AIF Designation, the individual must annually attest to the Code of Ethics and Conduct Standards, and accrue and report a minimum of six hours of continuing education. The Designation is administered by the Center for Fiduciary Studies, the certification division of Fi360 that is responsible for ongoing management of the program.

Fi360 is accredited by the ANSI National Accreditation Board for the AIF® Designation, making it one of few independently accredited designations recognized by FINRA.

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

### **Item 5 Additional Compensation**

Mr. Reveley does not receive any additional compensation.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "*Act*"). The Registrant's Chief Compliance Officer, LeAnn Mitchell, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Mitchell (804) 955-1600.



## **Item 1 Cover Page**

A.

Charles Clement Teden

Alpha Omega Wealth Management, LLC

ADV Part 2B, Brochure Supplement

Dated: March 13, 2024

Contact: LeAnn Mitchell, Chief Compliance Officer

7202 Glen Forest Drive, Suite 300

Richmond, Virginia 23226

B.

**This Brochure Supplement provides information about Charles Clement Teden that supplements the Alpha Omega Wealth Management, LLC Brochure; you should have received a copy of that Brochure. Please contact LeAnn Mitchell, Chief Compliance Officer, if you did *not* receive Alpha Omega Wealth Management, LLC's Brochure or if you have any questions about the contents of this supplement.**

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

## **Item 2 Education Background and Business Experience**

Charles Clement Teden was born in 1984. Mr. Teden graduated from Hampden-Sydney College in 2007 with a Bachelor of Science degree in Business Administration and Economics. Mr. Teden has been a Financial Advisor with Alpha Omega Wealth Management, LLC since April 2018. From March 2008 through April 2018, Mr. Teden was a Marketing Associate with Davenport & Company LLC.

## **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

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

Mr. Teden does not receive any additional compensation.

#### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "*Act*"). The Registrant's Chief Compliance Officer, LeAnn Mitchell, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Mitchell (804) 955-1600.

## Item 1 Cover Page

A.

William Martin Noftsinger Jr.

Alpha Omega Wealth Management, LLC

ADV Part 2B, Brochure Supplement

Dated: March 13, 2024

Contact: LeAnn Mitchell, Chief Compliance Officer

7202 Glen Forest Drive, Suite 300

Richmond, Virginia 23226

B.

**This Brochure Supplement provides information about William Martin Noftsinger Jr. that supplements the Alpha Omega Wealth Management, LLC Brochure; you should have received a copy of that Brochure. Please contact LeAnn Mitchell, Chief Compliance Officer, if you did *not* receive Alpha Omega Wealth Management, LLC's Brochure or if you have any questions about the contents of this supplement.**

**Additional information about William Martin Noftsinger Jr. is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2 Education Background and Business Experience

William Martin Noftsinger Jr. was born in 1951. Mr. Noftsinger graduated from Campbell University in 1973 with a Bachelor of Science degree in History and from the University of Richmond in 1981 with a Master of Business Administration degree. Mr. Noftsinger has been a Senior Investment Manager with Alpha Omega Wealth Management, LLC since June 2019. From September 1987 through June 2019, Mr. Noftsinger was a Senior Vice President Managing Director with Davenport & Company LLC.

## Item 3 Disciplinary Information

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

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

Mr. Noftsinger's annual compensation is based, in part, on the amount of assets under management that Mr. Noftsinger introduces to the Registrant. Accordingly, Mr. Noftsinger has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

#### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "*Act*"). The Registrant's Chief Compliance Officer, LeAnn Mitchell, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Mitchell (804) 955-1600.



## Item 1 Cover Page

A.

Nelson Reveley

Alpha Omega Wealth Management, LLC

ADV Part 2B, Brochure Supplement

Dated: March 13, 2024

Contact: LeAnn Mitchell, Chief Compliance Officer

7202 Glen Forest Drive, Suite 300

Richmond, Virginia 23226

B.

**This Brochure Supplement provides information about Nelson Reveley that supplements the Alpha Omega Wealth Management, LLC Brochure; you should have received a copy of that Brochure. Please contact LeAnn Mitchell, Chief Compliance Officer, if you did *not* receive Alpha Omega Wealth Management, LLC's Brochure or if you have any questions about the contents of this supplement.**

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

## Item 2 Education Background and Business Experience

Nelson Reveley was born in 1983. Mr. Reveley graduated from Princeton University with a Bachelor of Arts degree in Religion, a MDiv from Union Presbyterian Seminary, a ThM from Princeton Theological Seminary, and a PhD in Religious Studies from the University of Virginia. Mr. Reveley has been an Analyst with Alpha Omega Wealth Management, LLC since October 2020. Prior to that, he was a Student.

Mr. Reveley has held the designation of Chartered SRI Counselor<sup>SM</sup> (CSRIC<sup>®</sup>) since June 2021. The CSRIC<sup>®</sup> designation is a graduate-level program for advanced financial planners and is awarded by the College for Financial Planning<sup>®</sup>. The CSRIC<sup>®</sup> program provides a blend of foundational knowledge and scenario learning to work with sustainable, responsible, and impact (SRI) investments for a variety of clients. The program includes seven modules and candidates must pass a final examination. To maintain the CSRIC<sup>®</sup> designation, individuals are required to complete 16 hours of continuing education every two years.

Mr. Reveley has held the designation of Chartered Advisor in Philanthropy® (CAP®) since 2024. Candidates for the CAP® designation must complete a minimum of three courses in philanthropic studies through the Irwin Graduate School of The American College and six hours of rigorous, supervised written examinations. The curriculum addresses the advanced design, implementation and management of charitable gift techniques and strategies, as well and philanthropic tools including charitable trusts, private foundations, supporting organizations, donor-advised funds, pooled income funds, and charitable gift annuities. CAP® designees must have three-years of full-time, relevant business experience and earn 15 hours of continuing education every two years in course work directly related to the designation.

### **Item 3 Disciplinary Information**

None.

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

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. Mr. Nelson is a Board Member and investor of Urban Hope since January 2022.

### **Item 5 Additional Compensation**

Mr. Reveley's annual compensation is based, in part, on the amount of assets under management that Mr. Reveley introduces to the Registrant. Accordingly, Mr. Reveley has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

### **Item 6 Supervision**

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "*Act*"). The Registrant's Chief Compliance Officer, LeAnn Mitchell, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Ms. Mitchell (804) 955-1600.