

**Item 1: Cover Page for Part 2B of  
Form ADV: Brochure Supplement**



A.

**James M. Frawley, ChFC®**

Westside Investment Management, LLC

Brochure Supplement

Contact: James M. Frawley, Chief Compliance Officer  
2444 Wilshire Boulevard, Suite 303  
Santa Monica, CA 90403  
[www.westsideim.com](http://www.westsideim.com)

B.

This Brochure Supplement provides information about James M. Frawley that supplements the Westside Investment Management, LLC. Brochure. You should have received a copy of that Brochure. Please contact James M. Frawley, Chief Compliance Officer, if you did *not* receive Westside Investment Management, LLC.'s Brochure or if you have any questions about the contents of this supplement.

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

**Item 2 Education Background and Business Experience**

James M. Frawley was born in 1972. Mr. Frawley graduated from California State University Northridge in 1996, with a Bachelor of Science Degree in Finance. Mr. Frawley

has been a Managing Member, Co-founder, and Chief Compliance Officer of Westside Investment Management, LLC. since September of 2010. Mr. Frawley is also an Investment Advisor Representative with Westside Investment Management, LLC. since September of 2010. Mr. Frawley has also been a Registered Representative of LPL Financial Corporation since April of 2004. Mr. Frawley was an Investment Advisor Representative of LPL Financial Corporation from April 2004 to September 2010. From May of 1997 to April 2004, Mr. Frawley was a Registered Representative with American Express Financial Advisors Inc.

Mr. Frawley has held the designation of Chartered Financial Consultant (ChFC®) since 2001. The ChFC® designation is awarded by The American College, an accredited private educational institution that offers both undergraduate and graduate training programs. Prerequisites include high school education and three years of full-time business experience within the five years preceding the awarding of the designation. Average study time to earn the ChFC® exceeds 450 hours, to complete the 8 required college-level courses and pass the final exam for each course. Required courses cover topics, including retirement and estate planning; insurance planning; financial process and environment, income tax planning; employee benefits planning; asset protection planning and estate tax, transfer tax, and gift tax planning; and applications of comprehensive financial planning and consulting. Certification requires 30 CE credits every two years. ChFC® charterholders are held to a fiduciary standard and agree to comply with The American College code of ethics and procedures.

### Item 3 Disciplinary Information

Yes. We encourage you to visit [Investor.gov/CRS](https://www.investor.gov/crs) to research our firm and our financial professional. Furthermore, we encourage you to ask your financial professionals: As a financial professional, do you have any disciplinary history? If so, for what type of conduct?

### Item 4 Other Business Activities

- A. Registered Representative of LPL Financial Corporation. Mr. Frawley is a registered representative of LPL Financial Corporation (“LPL”), an SEC Registered and FINRA member broker-dealer. Clients may choose to engage Mr. Frawley in his individual capacity as a registered representative of LPL, to implement investment recommendations on a commission basis.

\*\* Mr. Frawley is also a Registered Principal with, and securities offered through LPL Financial, Member of FINRA/SIPC. Investment advice is offered through Westside Investment Management, LLC., a Registered Investment Advisor and separate entity from LPL Financial.

1. Conflict of Interest. The recommendation by Mr. Frawley that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any commission products from Mr. Frawley. Clients are reminded that they may purchase investment products recommended

by Registrant through other, non-affiliated broker dealers. The Registrant's Chief Compliance Officer, James M. Frawley, and Registered Principal/Managing Partner, David Todd Clark, remain available to address any questions that a client or prospective client may have regarding the above conflict of interest.

2. Commissions. In the event the client chooses to purchase investment products through *LPL*, brokerage commissions will be charged by *LPL* to effect securities transactions, a portion of which commissions shall be paid by *LPL* to Mr. Frawley. The brokerage commissions charged by *LPL* may be higher or lower than those charged by other broker-dealers. In addition, *LPL*, as well as Mr. Frawley, relative to commission mutual fund purchases, may also receive additional ongoing 12b-1 trailing commission compensation directly from the mutual fund company during the period that the client maintains the mutual fund investment. The securities commission business conducted by Mr. Frawley is separate and apart from Registrant's investment management services discussed in the Registrant's *Brochure*.

- B. Licensed Insurance Agent. Mr. Frawley, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Frawley to purchase insurance products on a commission basis. Conflict of Interest: The recommendation by Mr. Frawley that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. Frawley. Clients are reminded that they may purchase insurance products recommended by Mr. Frawley through other, non-affiliated insurance agents. The Registrant's Chief Compliance Officer, James M. Frawley, and Registered Principal/Managing Partner, David Todd Clark, remain available to address any questions that a client or prospective client may have regarding the above conflict of interest.

## Item 5 Additional Compensation

None

## 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 Adviser's Act of 1940 (the "*Act*"). The Registrant's Chief Compliance Officer, James M. Frawley, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. \* Mr. James Frawley is supervised by Registered Principal, David Todd Clark. 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 and Westside Investment Management LLC's Compliance Registered Principal, David Todd Clark. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact James Frawley, or David Todd Clark at (310) 315-9400.

**Item 1: Cover Page for Part 2B of  
Form ADV: Brochure Supplement**



A.

**David Todd Clark**

Westside Investment Management, LLC.

Brochure Supplement

Contact: James M. Frawley, Chief Compliance Officer  
2444 Wilshire Boulevard, Suite 303  
Santa Monica, CA 90403  
[www.westsideim.com](http://www.westsideim.com)

B.

This Brochure Supplement provides information about David Todd Clark that supplements the Westside Investment Management, LLC. Brochure. You should have received a copy of that Brochure. Please contact James M. Frawley, Chief Compliance Officer, if you did *not* receive Westside Investment Management, LLC.'s Brochure or if you have any questions about the contents of this supplement.

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

**Item 2 Education Background and Business Experience**

David Todd Clark was born in 1968. Mr. Clark graduated from Oklahoma State University in 1992, with a Bachelor of Science Degree in Business Administration - Marketing. Mr. Clark has been Managing Member and Co-founder of Westside Investment Management, LLC., since September of 2010. Mr. Clark has been an Investment Advisor Representative

at Westside Investment Management, LLC since September of 2010.

Mr. Clark has also been a Registered Representative of LPL Financial Corporation since April of 2004 and was an Investment Advisor Representative of LPL Financial Corporation from April 2004 to September 2010. From April 1992 to April 2004, Mr. Clark was a Registered Representative with American Express Financial Advisors Inc.

### Item 3 Disciplinary Information

None

### Item 4 Other Business Activities

- A. Registered Representative of LPL Financial Corporation. Mr. Clark is a registered representative of LPL Financial Corporation ("*LPL*"), an SEC Registered and FINRA member broker-dealer. Clients may choose to engage Mr. Clark in his individual capacity as a registered representative of *LPL*, to implement investment recommendations on a commission basis. \* Mr. Clark is also a Registered Principal with, and securities offered through LPL Financial, Member FINRA/SIPC. Investment advice offered through Westside Investment Management, LLC., a Registered Investment Advisor and separate entity from LPL Financial.
1. Conflict of Interest. The recommendation by Mr. Clark that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any commission products from Mr. Clark. Clients are reminded that they may purchase investment products recommended by Registrant through other, non-affiliated broker dealers.
  2. Commissions. In the event the client chooses to purchase investment products through *LPL*, brokerage commissions will be charged by *LPL* to effect securities transactions, a portion of which commissions shall be paid by *LPL* to Mr. Clark. The brokerage commissions charged by *LPL* may be higher or lower than those charged by other broker-dealers. In addition, *LPL*, as well as Mr. Clark, relative to commission mutual fund purchases, may also receive additional ongoing 12b-1 trailing commission compensation directly from the mutual fund company during the period that the client maintains the mutual fund investment. The securities commission business conducted by Mr. Clark is separate and apart from Registrant's investment management services discussed in the Registrant's *Brochure*.

- B. Licensed Insurance Agent. Mr. Clark, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Clark to purchase insurance products on a commission basis. Conflict of Interest: The recommendation by Mr. Clark that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. Clark. Clients are reminded that they may purchase insurance products recommended by Mr. Clark through other, non-affiliated insurance agents. The Registrant's Chief Compliance Officer, James M. Frawley, and Registered Principal/Managing Partner, David Todd Clark remain available to address any questions that a client or prospective client may have regarding the above conflict of interest.

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

None

#### **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 Adviser's Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, James M. Frawley, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. \* Mr. David Todd Clark is supervised by Registered Principal James Frawley. 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 and Westside Investment Management LLC's Compliance Registered Principal, David Todd Clark. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact James Frawley, or David Todd Clark at (310) 315-9400.

**Item 1: Cover Page for Part 2B of  
Form ADV: Brochure Supplement**



A.

**Mark L. Cohen**

Westside Investment Management, LLC.

Brochure Supplement

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Santa Monica, CA 90403  
[www.westsideim.com](http://www.westsideim.com)

B.

This Brochure Supplement provides information about Mark L. Cohen that supplements the Westside Investment Management, LLC. Brochure. You should have received a copy of that Brochure. Please contact James M. Frawley, Chief Compliance Officer, if you did *not* receive Westside Investment Management, LLC.'s Brochure or if you have any questions about the contents of this supplement.

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

**Item 2 Education Background and Business Experience**

Mark L. Cohen was born in 1961. Mr. Cohen graduated from the University of California (Santa Barbara) in 1984, with a Bachelor of Arts Degree in Business/Economics. Additionally, he received an Accounting Certification from the UCLA Extension in 1994.



Mr. Cohen has been an Investment Advisor Representative of Westside Investment Management, LLC. since September of 2010. Mr. Cohen has also been a Registered Representative of LPL Financial Corporation since July of 2009 and was an Investment Advisor Representative of LPL Financial Corporation from July 2009 to September 2010. From January 1999 to July 2009, Mr. Cohen was a Registered Representative with Morgan Stanley Dean Witter and its successor companies. From April 1995 to January 1999, Mr. Cohen was a Registered Representative of Salomon Smith Barney, Inc. and from July 1992 to March 1995, he was a Registered Representative of Fidelity Brokerage Services, Inc.

### Item 3 Disciplinary Information

None

### Item 4 Other Business Activities

A. Registered Representative of LPL Financial Corporation. Mr. Cohen is a registered representative of LPL Financial Corporation ("*LPL*"), an SEC Registered and FINRA member broker-dealer. Clients may choose to engage Mr. Cohen in his individual capacity as a registered representative of *LPL*, to implement investment recommendations on a commission basis.

1. Conflict of Interest. The recommendation by Mr. Cohen that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any commission products from Mr. Cohen. Clients are reminded that they may purchase investment products recommended by Registrant through other, non-affiliated broker dealers. The Registrant's Chief Compliance Officer, James M. Frawley, and Registered Principal/Managing Partner, David Todd Clark, remain available to address any questions that a client or prospective client may have regarding the above conflict of interest.
2. Commissions. In the event the client chooses to purchase investment products through *LPL*, brokerage commissions will be charged by *LPL* to effect securities transactions, a portion of which commissions shall be paid by *LPL* to Mr. Cohen. The brokerage commissions charged by *LPL* may be higher or lower than those charged by other broker-dealers. In addition, *LPL*, as well as Mr. Cohen, relative to commission mutual fund purchases, may also receive additional ongoing 12b-1 trailing commission compensation directly from the mutual fund company during the period that the client maintains the mutual fund investment. The securities commission business conducted by Mr. Cohen is separate and apart from Registrant's investment management services discussed in the Registrant's *Brochure*.

- B. Licensed Insurance Agent. Mr. Cohen, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Cohen to purchase insurance products on a commission basis. Conflict of Interest: The recommendation by Mr. Cohen that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. Cohen. Clients are reminded that they may purchase insurance products recommended by Mr. Cohen through other, non-affiliated insurance agents. The Registrant's Chief Compliance Officer, James M. Frawley, and Registered Principal/ Managing Partner, David Todd Clark, remain available to address any questions that a client or prospective client may have regarding the above conflict of interest.

### **Item 5 Additional Compensation**

None

### **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 Adviser's Act of 1940 (the "*Act*"). The Registrant's Chief Compliance Officer, James M. Frawley, 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 and Westside Investment Management LLC's Compliance Registered Principal, David Todd Clark. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact James Frawley, or David Todd Clark at (310) 315-9400.

**Item 1: Cover Page for Part 2B of  
Form ADV: Brochure Supplement**



A.

**Vetea J. Ribet**

Westside Investment Management, LLC.

Brochure Supplement

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2444 Wilshire Boulevard, Suite 303  
Santa Monica, CA 90403  
[www.westsideim.com](http://www.westsideim.com)

B.

This Brochure Supplement provides information about Vetea J. Ribet that supplements the Westside Investment Management, LLC. Brochure. You should have received a copy of that Brochure. Please contact James M. Frawley, Chief Compliance Officer, if you did *not* receive Westside Investment Management, LLC.'s Brochure or if you have any questions about the contents of this supplement.

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

**Item 2 Education Background and Business Experience**

Vetea J. Ribet was born in 1979. Mr. Ribet graduated from Santa Monica College, in 2000 with an Associate of Arts Degree in Business Administration. Mr. Ribet also graduated and earned his Bachelor of Science Degree in Business Administration at Pepperdine University in 2003.

In September of 2010, Mr. Ribet became an Investment Advisor Representative with Westside Investment Management, LLC. Mr. Ribet was a Financial Advisor Assistant at Westside Investment Management, from April 2004 to September 2010. Mr. Ribet became a Registered Representative with LPL Financial in February 2008. Mr. Ribet joined the team of Salo, Clark and Frawley American Express Financial Advisors, Inc. from February 2003 to April 2004.

### Item 3 Disciplinary Information

Yes. We encourage you to visit [Investor.gov/CRS](https://investor.gov/CRS) to research our firm and our financial professional. Furthermore, we encourage you to ask your financial professionals: As a financial professional, do you have any disciplinary history? If so, for what type of conduct?

### Item 4 Other Business Activities

- A. Registered Representative of LPL Financial Corporation. Mr. Ribet is a registered representative of LPL Financial Corporation (“LPL”), an SEC Registered and FINRA member broker-dealer. Clients may choose to engage Mr. Ribet in his individual capacity as a registered representative of LPL, to implement investment recommendations on a commission basis.
1. Conflict of Interest. The recommendation by Mr. Ribet that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any commission products from Mr. Ribet. Clients are reminded that they may purchase investment products recommended by Registrant through other, non-affiliated broker dealers. The Registrant’s Chief Compliance Officer, James M. Frawley, and Registered Principal/Managing Partner, David Todd Clark, remain available to address any questions that a client or prospective client may have regarding the above conflict of interest.
  2. Commissions. In the event the client chooses to purchase investment products through LPL, brokerage commissions will be charged by LPL to effect securities transactions, a portion of which commissions shall be paid by LPL to Mr. Ribet. The brokerage commissions charged by LPL may be higher or lower than those charged by other broker-dealers. In addition, LPL, as well as Mr. Ribet, relative to commission mutual fund purchases, may also receive additional ongoing 12b-1 trailing commission compensation directly from the mutual fund company during the period that the client maintains the mutual fund investment. The securities commission business conducted by Mr. Ribet is separate and apart from Registrant’s investment management services discussed in the Registrant’s *Brochure*.

- B. Licensed Insurance Agent. Mr. Ribet, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Ribet to purchase insurance products on a commission basis. Conflict of Interest: The recommendation by Mr. Ribet that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. Ribet. Clients are reminded that they may purchase insurance products recommended by Mr. Ribet through other, non-affiliated insurance agents. The Registrant's Chief Compliance Officer, James M. Frawley, and Registered Principal/Managing Partner, David Todd Clark, remain available to address any questions that a client or prospective client may have regarding the above conflict of interest.

## Item 5 Additional Compensation

None

## 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 Adviser's Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, James M. Frawley, 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 and Westside Investment Management LLC's Compliance Registered Principal, David Todd Clark. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact James Frawley, or David Todd Clark at (310) 315-9400.

**Item 1: Cover Page for Part 2B of  
Form ADV: Brochure Supplement**



A.

**Sky B. Rylant**

Westside Investment Management, LLC.

Brochure Supplement

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2444 Wilshire Boulevard, Suite 303  
Santa Monica, CA 90403  
[www.westsideim.com](http://www.westsideim.com)

B.

This Brochure Supplement provides information about Sky B. Rylant that supplements the Westside Investment Management, LLC. Brochure. You should have received a copy of that Brochure. Please contact James M. Frawley, Chief Compliance Officer, if you did *not* receive Westside Investment Management, LLC.'s Brochure or if you have any questions about the contents of this supplement.

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

**Item 2 Education Background and Business Experience**

Sky B. Rylant was born in 1981. Mr. Rylant attended the Oklahoma State University graduating in 2004 with a Bachelor of Administration Degree in Political Science. Mr. Rylant has been an Investment Advisor Representative of Westside Investment

Management, LLC. since October of 2012. Mr. Rylant has also been a Registered Representative of LPL Financial Corporation since October of 2012. From January of 2008 to September of 2012, Mr. Rylant was an Associate Financial Advisor of Ameriprise Financial Services, Inc. From March of 2007 to December of 2007 Mr. Rylant was a Registered Representative of T.S. Phillips Investments, Inc.

### Item 3 Disciplinary Information

None.

### Item 4 Other Business Activities

A. Registered Representative of LPL Financial Corporation. Mr. Rylant is a registered representative of LPL Financial Corporation (“LPL”), an SEC Registered and FINRA member broker-dealer. Clients may choose to engage Mr. Rylant in their individual capacity as a registered representative of LPL, to implement investment recommendations on a commission basis.

1. Conflict of Interest. The recommendation by Mr. Rylant that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any commission products from Mr. Rylant. Clients are reminded that they may purchase investment products recommended by Registrant through other, non-affiliated broker dealers. The Registrant’s Chief Compliance Officer, James M. Frawley, and Registered Principal/Managing Partner, David Todd Clark, remain available to address any questions that a client or prospective client may have regarding the above conflict of interest.
2. Commissions. In the event the client chooses to purchase investment products through LPL, brokerage commissions will be charged by LPL to effect securities transactions, a portion of which commissions shall be paid by LPL to Mr. Rylant. The brokerage commissions charged by LPL may be higher or lower than those charged by other broker-dealers. In addition, LPL, as well as Mr. Rylant, relative to commission mutual fund purchases, may also receive additional ongoing 12b-1 trailing commission compensation directly from the mutual fund company during the period that the client maintains the mutual fund investment. The securities commission business conducted by Mr. Rylant is separate and apart from Registrant’s investment management services discussed in the Registrant’s *Brochure*.

B. Licensed Insurance Agent. Mr. Rylant, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Rylant to purchase insurance products on a commission basis. Conflict of Interest: The recommendation by Mr. Rylant that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation

to purchase any insurance commission products from Mr. Rylant. Clients are reminded that they may purchase insurance products recommended by Mr. Rylant through other, non-affiliated insurance agents. The Registrant's Chief Compliance Officer, James M. Frawley, and Registered Principal/Managing Partner, David Todd Clark, remain available to address any questions that a client or prospective client may have regarding the above conflict of interest.

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

None.

#### **Item 6 Supervision**

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Form ADV: Brochure Supplement**



A.

**Noah A. Cornish**

Westside Investment Management, LLC.

Brochure Supplement

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[www.westsideim.com](http://www.westsideim.com)

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This Brochure Supplement provides information about Noah A. Cornish that supplements the Westside Investment Management, LLC. Brochure. You should have received a copy of that Brochure. Please contact James M. Frawley, Chief Compliance Officer, if you did *not* receive Westside Investment Management, LLC.'s Brochure or if you have any questions about the contents of this supplement.

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

## Item 2 Education Background and Business Experience

Noah A. Cornish was born in 1968. Mr. Cornish attended Cameron University graduating in 1990 with a Bachelor of Arts Degree in Business Administration. Mr. Cornish has been an Investment Advisor Representative of Westside Investment Management, LLC. since January of 2014. Mr. Cornish has also been a Registered Representative of LPL Financial Corporation since January of 2014. From February of 2003 to January of 2014, Mr. Cornish was a Financial Advisor of Merrill Lynch. From January of 2012 to January of 2014, Mr. Cornish was a Senior Financial Advisor with Bank of America.

## Item 3 Disciplinary Information

None

## Item 4 Other Business Activities

A. Registered Representative of LPL Financial Corporation. Mr. Cornish is a registered representative of LPL Financial Corporation ("*LPL*"), an SEC Registered and FINRA member broker-dealer. Clients may choose to engage Mr. Cornish in their individual capacity as a registered representative of *LPL*, to implement investment recommendations on a commission basis.

1. Conflict of Interest. The recommendation by Mr. Cornish that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any commission products from Mr. Cornish. Clients are reminded that they may purchase investment products recommended by Registrant through other, non-affiliated broker dealers. The Registrant's Chief Compliance Officer, James M. Frawley, and Registered Principal/Managing Partner, David Todd Clark remain available to address any questions that a client or prospective client may have regarding the above conflict of interest.
2. Commissions. In the event the client chooses to purchase investment products through *LPL*, brokerage commissions will be charged by *LPL* to effect securities transactions, a portion of which commissions shall be paid by *LPL* to Mr. Cornish. The brokerage commissions charged by *LPL* may be higher or lower than those charged by other broker-dealers. In addition, *LPL*, as well as Mr. Cornish, relative to commission mutual fund purchases, may also receive additional ongoing 12b-1 trailing commission compensation directly from the mutual fund company during the period that the client maintains the mutual fund investment. The securities commission business conducted by Mr. Cornish is separate and apart from Registrant's investment management services discussed in the Registrant's *Brochure*.

- B. Licensed Insurance Agent. Mr. Cornish, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Cornish to purchase insurance products on a commission basis. Conflict of Interest: The recommendation by Mr. Cornish that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. Cornish. Clients are reminded that they may purchase insurance products recommended by Mr. Cornish through other, non-affiliated insurance agents. The Registrant's Chief Compliance Officer, James M. Frawley, and Registered Principal/Managing Partner, David Todd Clark remain available to address any questions that a client or prospective client may have regarding the above conflict of interest.

### **Item 5 Additional Compensation**

None

### **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 Adviser's Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, James M. Frawley, 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 and Westside Investment Management LLC's Compliance Registered Principal, David Todd Clark. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact James Frawley, or David Todd Clark at (310) 315-9400.

**Item 1: Cover Page for Part 2B of  
Form ADV: Brochure Supplement**



A.

**Sienna P. Yoshida**

Westside Investment Management, LLC.

Brochure Supplement

Contact: James M. Frawley, Chief Compliance Officer  
2444 Wilshire Boulevard, Suite 303  
Santa Monica, CA 90403  
[www.westsideim.com](http://www.westsideim.com)

B.

This Brochure Supplement provides information about Sienna P. Yoshida that supplements the Westside Investment Management, LLC. Brochure. You should have received a copy of that Brochure. Please contact James M. Frawley, Chief Compliance Officer, if you did *not* receive Westside Investment Management, LLC.'s Brochure or if you have any questions about the contents of this supplement.

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

## Item 2 Education Background and Business Experience

Sienna P. Yoshida was born in 1968. Ms. Yoshida attended University of the Pacific graduating in 1990 with a Bachelor of Arts Degree in Communications. Ms. Yoshida has been an Investment Advisor Representative of Westside Investment Management, LLC. since January of 2014. Ms. Yoshida has also been a Registered Representative of LPL Financial Corporation since December of 2013. From May of 2012 to November of 2013, Ms. Yoshida was a Wealth Advisor of Banc West Investment Services with the First Hawaiian Bank. From September of 2003 to May of 2012, Ms. Yoshida was an Investment Consultant with Bankoh Investment Services, Inc. at the Bank of Hawaii.

## Item 3 Disciplinary Information

None

## Item 4 Other Business Activities

- A. Registered Representative of LPL Financial Corporation. Ms. Yoshida is a registered representative of LPL Financial Corporation ("*LPL*"), an SEC Registered and FINRA member broker-dealer. Clients may choose to engage Ms. Yoshida in their individual capacity as a registered representative of *LPL*, to implement investment recommendations on a commission basis.
  1. Conflict of Interest. The recommendation by Ms. Yoshida that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any commission products from Ms. Yoshida. Clients are reminded that they may purchase investment products recommended by Registrant through other, non-affiliated broker dealers. The Registrant's Chief Compliance Officer, James M. Frawley, and Registered Principal/Managing Partner, David Todd Clark, remain available to address any questions that a client or prospective client may have regarding the above conflict of interest.
  2. Commissions. In the event the client chooses to purchase investment products through *LPL*, brokerage commissions will be charged by *LPL* to effect securities transactions, a portion of which commissions shall be paid by *LPL* to Ms. Yoshida. The brokerage commissions charged by *LPL* may be higher or lower than those charged by other broker-dealers. In addition, *LPL*, as well as Ms. Yoshida, relative to commission mutual fund purchases, may also receive additional ongoing 12b-1 trailing commission compensation directly from the mutual fund company during the period that the client maintains the mutual fund investment. The securities commission business conducted by Ms. Yoshida is separate and apart from Registrant's investment management services discussed in the Registrant's *Brochure*.

- B. Licensed Insurance Agent. Ms. Yoshida, in her individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Ms. Yoshida to purchase insurance products on a commission basis. Conflict of Interest: The recommendation by Ms. Yoshida that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Ms. Yoshida. Clients are reminded that they may purchase insurance products recommended by Ms. Yoshida through other, non-affiliated insurance agents. The Registrant's Chief Compliance Officer, James M. Frawley, and Registered Principal/Managing Partner, David Todd Clark, remain available to address any questions that a client or prospective client may have regarding the above conflict of interest.

### **Item 5 Additional Compensation**

None.

### **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 Adviser's Act of 1940 (the "Act"). The Registrant's Chief Compliance Officer, James M. Frawley, 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 and Westside Investment Management LLC's Compliance Registered Principal, David Todd Clark. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact James Frawley, or David Todd Clark at (310) 315-9400.

**Item 1: Cover Page for Part 2B of  
Form ADV: Brochure Supplement**



A.

**Walter J. O'Brien**

Westside Investment Management, LLC.

Brochure Supplement

Contact: James M. Frawley, Chief Compliance Officer  
2444 Wilshire Boulevard, Suite 303  
Santa Monica, CA 90403  
[www.westsideim.com](http://www.westsideim.com)

B.

This Brochure Supplement provides information about Walter J. O'Brien that supplements the Westside Investment Management, LLC. Brochure. You should have received a copy of that Brochure. Please contact James M. Frawley, Chief Compliance Officer, if you did *not* receive Westside Investment Management, LLC.'s Brochure or if you have any questions about the contents of this supplement.

Additional information about Walter J. O'Brien is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

**Item 2 Education Background and Business Experience**

Walter J. O'Brien was born in 1946. Mr. O'Brien has a Bachelor of Science Degree in Business Administration from The University of New Hampshire. Since April of 2014, Mr. O'Brien has been an Investment Advisor Representative of Westside Investment

Management, LLC. since May of 2014; Mr. O'Brien has also been a Registered Representative of LPL Financial since April of 2014. From May of 2009 to April of 2014, Mr. O'Brien was a Registered Representative of Wells Fargo Advisors Financial Network. From September of 2005 to May of 2009, Mr. O'Brien was a Financial Advisor of Wachovia Securities Financial Network.

Mr. O'Brien has held the designation of Chartered Financial Consultant (ChFC®) since 2011. The ChFC® designation is awarded by The American College, an accredited private educational institution that offers both undergraduate and graduate training programs. Prerequisites include high school education and three years of full-time business experience within the five years preceding the awarding of the designation. Average study time to earn the ChFC® exceeds 450 hours, to complete the 8 required college-level courses and pass the final exam for each course. Required courses cover topics, including retirement and estate planning; insurance planning; financial process and environment, income tax planning; employee benefits planning; asset protection planning and estate tax, transfer tax, and gift tax planning; and applications of comprehensive financial planning and consulting. Certification requires 30 CE credits every two years. ChFC® charterholders are held to a fiduciary standard and agree to comply with The American College code of ethics and procedures.

### Item 3 Disciplinary Information

None.

### Item 4 Other Business Activities

- A. Registered Representative of LPL Financial Corporation. Mr. O'Brien is a registered representative of LPL Financial Corporation ("LPL"), an SEC Registered and FINRA member broker-dealer. Clients may choose to engage Mr. O'Brien in his individual capacity as a registered representative of LPL, to implement investment recommendations on a commission basis.
  1. Conflict of Interest. The recommendation by Mr. O'Brien that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any commission products from Mr. O'Brien. Clients are reminded that they may purchase investment products recommended by Registrant through other, non-affiliated broker dealers. The Registrant's Chief Compliance Officer, James M. Frawley, and Registered Principal/ Managing Partner, David Todd Clark, remain available to address any questions that a client or prospective client may have regarding the above conflict of interest.
  2. Commissions. In the event the client chooses to purchase investment products through LPL, brokerage commissions will be charged by LPL to effect securities transactions, a portion of which commissions shall be paid by LPL to Mr. O'Brien. The brokerage commissions charged by



*LPL* may be higher or lower than those charged by other broker-dealers. In addition, *LPL*, as well as Mr. O'Brien, relative to commission mutual fund purchases, may also receive additional ongoing 12b-1 trailing commission compensation directly from the mutual fund company during the period that the client maintains the mutual fund investment. The securities commission business conducted by Mr. O'Brien is separate and apart from Registrant's investment management services discussed in the Registrant's *Brochure*.

- B. Licensed Insurance Agent. Mr. O'Brien, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. O'Brien to purchase insurance products on a commission basis. Conflict of Interest: The recommendation by Mr. O'Brien that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. O'Brien. Clients are reminded that they may purchase insurance products recommended by Mr. O'Brien through other, non-affiliated insurance agents. The Registrant's Chief Compliance Officer, James M. Frawley, and Registered Principal/Managing Partner, David Todd Clark, remain available to address any questions that a client or prospective client may have regarding the above conflict of interest.

## Item 5 Additional Compensation

None

## 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 Adviser's Act of 1940 (the "*Act*"). The Registrant's Chief Compliance Officer, James M. Frawley, 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 and Westside Investment Management LLC's Compliance Registered Principal, David Todd Clark. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact James Frawley, or David Todd Clark at (310) 315-9400.