

Item 1: Cover Page
Part 2B of Form ADV: Brochure Supplement
March 6, 2024

BRICKLEY
WEALTH MANAGEMENT

Stephen Brickley

Brickley Wealth Management
1630 South Delaware Street #5600
San Mateo CA, 94402-9998
www.BrickleyWealth.com

Firm Contact:
Nathan Brickley
Owner

This brochure supplement provides information about Stephen Brickley that supplements our brochure. You should have received a copy of that brochure. Please contact Nathan Brickley if you did not receive Brickley Wealth Management's brochure or if you have any questions about the contents of this supplement. Additional information about Mr. Brickley is available on the SEC's website at www.adviserinfo.sec.gov by searching CRD #3233791.

Item 2: Educational Background & Business Experience

Stephen Mark Brickley

Year of Birth: 1956

Educational Background:

- 1981: Golden Gate University, BS in Accounting and Finance

Business Background:

- 05/2017 – Present Brickley Wealth Management; Owner, Chief Compliance Officer & Investment Advisor
- 01/1985 – Present Brickley & Company CPA, Inc; Owner & Certified Public Accountant
- 06/1999 – 06/2017 LPL Financial; Investment Advisor & Registered Representative

Exams, Licenses & Other Professional Designations:

- 1985: Certified Public Accountant (CPA)
- 2001: CA Life, Accident & Variable Insurance License
- 1999: Series 7 Exam
- 1999: Series 66 Exam

CERTIFIED PUBLIC ACCOUNTANT (CPA)

CPAs are licensed and regulated by their state boards of accountancy. Experience and testing requirements for licensure as a CPA generally include minimum college education, minimum experience levels, and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of continuing professional education. Additionally, CPAs are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services.

CA Life, Accident & Variable Insurance License

To obtain a California Insurance License, an individual must first complete a pre-licensing education course, which covers the basics of insurance, the legal and ethical responsibilities of an insurance agent, and California-specific insurance laws and regulations. After completing the course, the individual must pass a state-administered licensing exam.

Once licensed, the individual must meet certain continuing education (CE) requirements to keep the license active. California Insurance Licensees must complete 24 hours of CE every two years, including at least three hours in ethics training. The CE requirement is designed to ensure that licensed individuals stay current with industry developments and maintain a high level of professional competence.

In addition to CE requirements, California Insurance Licensees must comply with other state-specific regulations and laws governing insurance sales, including proper disclosure of policy terms, maintaining accurate records, and providing timely service to policyholders. Failure to comply with these regulations can result in disciplinary action, including fines, license suspension, or revocation.

Series 7 Exam

The Series 7 exam, also known as the General Securities Representative Exam, is a licensing exam that financial professionals must pass to sell securities products.

To pass the Series 7 exam, financial professionals must demonstrate knowledge of a wide range of topics related to the securities industry, including investment products, securities markets, securities analysis, regulations, and ethical considerations. The exam is comprised of 125 multiple-choice questions, and candidates are given 3 hours and 45 minutes to complete the exam.

The exam is administered by the Financial Industry Regulatory Authority (FINRA) and is designed to ensure that individuals who sell securities products to retail investors have the necessary knowledge and skills to do so competently and ethically.

To prepare for the Series 7 exam, financial professionals typically study a variety of materials, including textbooks, online courses, and practice exams. Many also participate in training programs provided by their employer or other organizations to help them prepare for the exam.

Series 66 Exam

The Series 66 exam is a licensing exam that financial professionals must pass to become registered as both a securities agent and an investment advisor representative.

To pass the Series 66 exam, financial professionals must demonstrate knowledge of a range of topics related to the securities industry and investment advising, including investment products, securities markets, state and federal regulations, ethical considerations, and investment analysis. The exam is comprised of 100 multiple-choice questions, and candidates are given 2 hours and 30 minutes to complete the exam.

The exam is administered by the Financial Industry Regulatory Authority (FINRA) in conjunction with state securities regulators and is designed to ensure that individuals who provide investment advice to retail investors have the necessary knowledge and skills to do so competently and ethically.

To prepare for the Series 66 exam, financial professionals typically study a variety of materials, including textbooks, online courses, and practice exams. Many also participate in training programs provided by their employer or other organizations to help them prepare for the exam.

It's worth noting that the Series 66 exam is often taken in conjunction with the Series 7 exam, as the two exams together allow financial professionals to become fully registered to sell securities products and provide investment advice to retail investors.

Item 3: Disciplinary Information¹

There are no legal or disciplinary events material to the evaluation of Stephen Brickley.

¹ Note: Our firm may, under certain circumstances, rebut the presumption that a disciplinary event is material. If an event is immaterial, we are not required to disclose it. When we review a legal or disciplinary event involving the advisor to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of advisor to the advisory function; (2) the nature of the infraction that led to the disciplinary event; (3) the severity of the disciplinary sanction; and (4) the time elapsed since the date of the disciplinary event. If we conclude that the materiality presumption has been overcome, we prepare and maintain a file memorandum of our determination in our records. We follow SEC rule 204-2(a)(14)(iii) and similar state rules.

Item 4: Other Business Activities

Stephen Brickley is the owner and a Certified Public Accountant with Brickley & Company CPA, Inc. In such capacity, he may also provide income tax preparation or accounting services. These services are independent of our firm's financial planning and investment advisory services and are governed under a separate engagement agreement. Clients have the option of engaging our representative for tax preparation or accounting services, however, they are under no obligation to do so.

Stephen Brickley is a licensed insurance agent/broker. He may offer insurance products and receive commissions as a result of insurance sales. A conflict of interest may arise as these insurance sales may create an incentive to recommend products based on the compensation earned. To mitigate this potential conflict, Stephen Brickley will act in the client's best interest.

Item 5: Additional Compensation

Stephen Brickley does not receive any other economic benefit for providing advisory services in addition to his salary and profit sharing from the advisory fees of the firm.

Item 6: Supervision

Nathan Brickley supervises and monitors Stephen Brickley's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Nathan Brickley if you have any questions about Stephen Brickley's brochure supplement at (650) 638-0111.

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BRICKLEY
WEALTH MANAGEMENT

Nathan Brickley

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Firm Contact:
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Chief Compliance Officer

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Item 2: Educational Background & Business Experience

Nathan George Brickley

Year of Birth: 1991

Educational Background:

- 2014: Santa Clara University, Bachelor of Science in Finance

Business Background:

- 05/2017 – Present Brickley Wealth Management; Owner & Investment Advisor
- 02/2015 – Present Brickley & Company CPA, Inc; Owner & Certified Public Accountant
- 02/2015 – 06/2017 LPL Financial, LLC; Investment Advisor & Registered Representative

Exams, Licenses & Other Professional Designations:

- 2016: CA Life & Variable Insurance License
- 2019: Certified Public Accountant (CPA)
- 2015: Series 7
- 2016: Series 66

CERTIFIED PUBLIC ACCOUNT (CPA)

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Item 3: Disciplinary Information¹

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Item 4: Other Business Activities

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Item 5: Additional Compensation

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BRICKLEY
WEALTH MANAGEMENT

Aaron Brickley

Brickley Wealth Management
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Firm Contact:
Stephen Brickley
Chief Compliance Officer

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Item 2: Educational Background & Business Experience

Aaron Michael Brickley

Year of Birth: 1985

Educational Background:

- 2007: Loyola Marymount University, Bachelor in Business Administration

Business Background:

- 05/2017 – Present Brickley Wealth Management; Owner & Investment Advisor
- 04/2011 – 06/2017 LPL Financial, LLC; Investment Advisor & Registered Representative
- 06/2008 – 04/2011 UnionBanc Investment Services; Financial Advisor
- 07/2007 – 03/2008 Ameriprise Financial; Financial Advisor

Exams, Licenses & Other Professional Designations:

- 2016: Certified Financial Planner, CFP®
- 2019: Certified Private Wealth Advisor, CPWA®
- 2007: Series 7
- 2007: Series 66

The CFP® certification is obtained by completing an advanced college-level course of study addressing the financial planning subject areas that the CFP® Board's studies have determined as necessary for the competent and professional delivery of financial planning services, a comprehensive certification exam and agreeing to be bound by the CFP® board's *Standard of Professional Conduct*. As a prerequisite, the individual must have a Bachelor's degree from a regionally accredited United States college or university (or foreign university equivalent) and have at least 3 years of full time financial planning experience (or equivalent measured at 2,000 hours per year). This designation requires 30 hours of continuing education every 2 years and renewing an agreement to be bound by the *Standards of Professional Conduct*.

The CPWA® designation signifies that an individual has met initial and on-going experience, ethical, education, and examination requirements for the professional designation, which is centered on private wealth management topics and strategies for high-net-worth clients. The designation is administered through The Investments & Wealth Institute ("IWI") formerly known as the Investment Management Consultants Association. Prerequisites for the CPWA® designation are a Bachelor's degree from an accredited college or university or one of the following designations or licenses: CIMA®, CIMC®, CFA®, CFP®, ChFC®, or CPA license; have an acceptable regulatory history as evidenced by FINRA Form U-4 or other regulatory requirements and five years of professional client-centered experience in financial services or a related industry. CPWA® designees have completed a rigorous educational process that includes self-study requirements, an in-class education component, and successful completion of a comprehensive examination. CPWA® designees are required to adhere to the institute's *Code of Professional Responsibility* and *Rules and Guidelines for Use of the Marks*. CPWA® designees must report 40 hours of continuing education credits, including two ethics hours, every 2 years to maintain the certification.

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Item 3: Disciplinary Information¹

There are no legal or disciplinary events material to the evaluation of Aaron Brickley.

Item 4: Other Business Activities

¹ Note: Our firm may, under certain circumstances, rebut the presumption that a disciplinary event is material. If an event is immaterial, we are not required to disclose it. When we review a legal or disciplinary event involving the advisor to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of advisor to the advisory function; (2) the nature of the infraction that led to the disciplinary event; (3) the severity of the disciplinary sanction; and (4) the time elapsed since the date of the disciplinary event. If we conclude that the materiality presumption has been overcome, we prepare and maintain a file memorandum of our determination in our records. We follow SEC rule 204-2(a)(14)(iii) and similar state rules.

Aaron Brickley does not have any outside business activities to report.

Item 5: Additional Compensation

Aaron Brickley does not receive any other economic benefit for providing advisory services in addition to his salary and profit sharing from the advisory fees of the firm.

Item 6: Supervision

Stephen Brickley supervises and monitors Aaron Brickley's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Stephen Brickley if you have any questions about Aaron Brickley's brochure supplement at (650) 638-0111.

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BRICKLEY
WEALTH MANAGEMENT

Tatiane Saravia

Brickley Wealth Management
1630 South Delaware Street #5600
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Firm Contact:
Stephen Brickley
Chief Compliance Officer

This brochure supplement provides information about Tatiane Medeiros Saravia that supplements our brochure. You should have received a copy of that brochure. Please contact Stephen Brickley if you did not receive Brickley Wealth Management's brochure or if you have any questions about the contents of this supplement. Additional information about Tatiane Medeiros Saravia is available on the SEC's website at www.adviserinfo.sec.gov by searching CRD #5891767

Item 2: Educational Background & Business Experience

Tatiane Medeiros Saravia

Year of Birth: 1986

Educational Background:

- 2007: Skyline College Associates of Arts Business Administration
- 2010: San Francisco State University Bachelor of Science Business Administration-Accounting and Finance

Business Background:

- 02/2024 -Present Brickley Wealth Management; Operations Manager/Trader
- 11/2019 -02/2024 Brickley Wealth Management; Operations Manager
- 11/2015 -11/2019 Summitry (Formerly Golub Group); Client Service Manager

Exams, Licenses & Other Professional Designations:

- 2007: Series 65 2024

Series 65 Uniform Investment Advisor Law Examination

The Series 65 exam — the NASAA Investment Advisers Law Examination — is a North American Securities Administrators Association (NASAA) exam administered by FINRA.

The exam consists of 130 scored questions. Candidates have 180 minutes to complete the exam. In order for a candidate to pass the Series 65 exam, he/she must correctly answer at least 94 of the 130 scored questions.

For additional information about this exam, including the content outline, please visit the exams page on the [NASAA website](#)

Item 3: Disciplinary Information¹

There are no legal or disciplinary events material to the evaluation of Tatiane Medeiros Saravia.

Item 4: Other Business Activities

¹ Note: Our firm may, under certain circumstances, rebut the presumption that a disciplinary event is material. If an event is immaterial, we are not required to disclose it. When we review a legal or disciplinary event involving the advisor to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of advisor to the advisory function; (2) the nature of the infraction that led to the disciplinary event; (3) the severity of the disciplinary sanction; and (4) the time elapsed since the date of the disciplinary event. If we conclude that the materiality presumption has been overcome, we prepare and maintain a file memorandum of our determination in our records. We follow SEC rule 204-2(a)(14)(iii) and similar state rules.

Tatiane Medeiros Saravia does not have any outside business activities to report.

Item 5: Additional Compensation

Tatiane Medeiros Saravia does not receive any other economic benefit for providing advisory services in addition to her salary.

Item 6: Supervision

Stephen Brickley supervises and monitors Tatiane Medeiros Saravia's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Stephen Brickley if you have any questions about Tatiane Medeiros Saravia's brochure supplement at (650) 638-0111.