



FORM ADV PART 2B – BROCHURE SUPPLEMENT

MARK N. PACCIONE
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This Brochure Supplement provides information about the Supervised Person, which supplements the Curi Wealth Management, LLC Brochure. You should have received a copy of that Brochure. Please contact the Chief Compliance Officer at (917) 538-7935 if you did not receive Curi Wealth Management, LLC's Brochure or if you have any questions about the content of this supplement.

Item 2: Educational Background and Business Experience

Year of Birth: 1975

Educational Background

Wake Forest University – Bachelor of Science, Mathematical Economics (1997)

Professional Designations

Mr. Paccione has earned both the Chartered Financial Analyst (CFA) and Certified Financial Planner (CFP) designation.

Business Experience

<u>Company</u>	<u>Title</u>	<u>Dates</u>
Curi Wealth Management, LLC	Chief Investment Officer/Chief Operating Officer	June 2019 - Present
CapTrust	Senior Director- Investment Research	January 2019 – May 2019
CapTrust	Director – Investment Research	January 2012 – December 2018

Item 3: Disciplinary Information

Curi Wealth Management, LLC (“Curi”) is required to disclose all material facts regarding any legal or disciplinary events that would be material to a client’s evaluation of each Supervised Person providing investment advice.

There is no information to report with respect to this item.

Item 4: Other Business Activities

Curi is required to disclose all investment related business or other occupation in which its Supervised Persons are involved.

There is no information to report with respect to this item.

Item 5: Additional Compensation

Curi is required to disclose any economic benefit a Supervised Person receives, other than from Curi, for providing advisory services.

There is no information to report with respect to this item.

Item 6: Supervision

Mark N. Paccione is the Chief Investment Officer of Curi and his activities are subject to the supervision of Dale Jenkins, the President and Chief Executive Officer of Curi Capital, LLC, the parent company of Curi Wealth Management. He is also subject to the compliance program of Curi Wealth Management, LLC, which is overseen by the Chief Compliance Officer, Kathleen Keating, who can be reached at (919) 202-8400, (917) 538-7935 or Kathleen.keating@curicapital.com.

CFA PROGRAM DESCRIPTION FOR SEC FORM ADV PART 2B

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

There are currently more than 142,000 CFA charter holders working in 159 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 charter holders to:

- Place their clients’ interests ahead of their own;
- Maintain independence and objectivity;
- Act with integrity;
- Maintain and improve their professional competence; and
- 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 charter holders often making the charter a prerequisite for employment.

Additionally, regulatory bodies in 23 countries and territories recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 125 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 professional.

To learn more about the CFA charter, visit www.cfainstitute.org.

Certified Financial Planner Disclosure

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 71,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor’s Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board’s financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board’s *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP®professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the *Standards of Professional Conduct*. The *Standards* prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP®professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board’s enforcement process, which could result in suspension or permanent revocation of their CFP® certification.