



## **FORM ADV PART 2B – BROCHURE SUPPLEMENT**

**JOSEPH A. DILLON**  
**Curi Wealth Management, LLC**

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**June 1, 2019**

***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:** 1981

**Educational Background**

Ohio University – Bachelor of Arts – Political Science/International Relations (2003)

**Professional Designations**

Mr. Dillon has earned the Certified Financial Planner designation and the Chartered Life Underwriter designation.

**Business Experience**

<b><u>Company</u></b>	<b><u>Title</u></b>	<b><u>Dates</u></b>
Curi Wealth Management, LLC	Director	June 2019 - Present
SharpVue Capital, LLC	Director	March 2018 – June 2019
CAPTRUST	Investment Strategist	March 2013 – March 2018
Principal Financial Group	Senior Manager	June 2008 – March 2013
Fidelity Investments	Retirement Services Manager	November 2003 – June 2008

**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**

Joseph A. Dillon is a Director of Curi and is currently supervised by Mark Paccione, the Chief Investment Officer. All Supervised Persons are subject to Curi’s compliance program which is administered and overseen by the Chief Compliance Officer who can be reached at (917) 538-7935 or [Kathleen.keating@curicapital.com](mailto:Kathleen.keating@curicapital.com).



## **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.

## **Chartered Life Underwriter Disclosure**

This designation is a professional credential for persons providing advisory services related to risk management. The CLU® designation is awarded by The American College. Candidates must have three years of full-time business experience in the five years preceding the designation, and successfully complete eight college-level courses, generally requiring 400 hours of study and examinations for each course. Designees have continuing education requirements and must adhere to high ethical standards.