

**Item 1 Cover Page**

A.

**Richard A. Stone**

Private Ocean, LLC

Brochure Supplement  
Dated 3/28/13

Contact: Justin K. Hult, Chief Compliance Officer  
750 Lindaro Street, Suite 130  
San Rafael, California 94901

B.

**This Brochure Supplement provides information about Richard A. Stone that supplements the Private Ocean, LLC Brochure; you should have received a copy of that Brochure. Please contact Justin K. Hult, Chief Compliance Officer, if you did *not* receive Private Ocean, LLC's Brochure or if you have any questions about the contents of this supplement.**

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

**Item 2 Education Background and Business Experience**

Richard A. Stone was born in 1945. Mr. Stone graduated from San Jose State University with a Bachelor of Arts degree in Business & Finance. Mr. Stone is the Chairman of Private Ocean, LLC. Formerly, Mr. Stone was the Chief Executive Officer of Private Ocean (2009-2012). Mr. Stone founded Salient Wealth Management (formerly Salient Financial Corp) in 1983 and was CEO until 2009.

Mr. Stone has been a CERTIFIED FINANCIAL PLANNER™ since 1973. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (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 62,000 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, administered in 10 hours over a two-day period, 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.

Mr. Stone has held the designation of Chartered Life Underwriter (CLU®) since 1972. CLU® is a financial planning designation for the insurance industry conferred by The American College. Candidates must meet education, experience, examination, and continuing ethical requirements. Candidates must have at least three years of experience in the financial industry, or an undergraduate or graduate degree from an accredited university and two years of experience in the financial industry. Candidates are required to take eight academic courses each followed by

an exam. The courses and exams cover topics in finance, investing, insurance, and estate planning.

Mr. Stone has held the designation of Accredited Estate Planner® (AEP®) since 1973. An Accredited Estate Planner applicant must meet all of the following requirements established by the National Association of Estate Planners & Councils:

To be eligible to be considered for the AEP® designation, the applicant must provide documentation of being licensed to practice law as an Attorney (JD) or to practice as a Certified Public Accountant (CPA), or of being currently designated as a Chartered Life Underwriter® (CLU®), Chartered Financial Consultant® (ChFC®), Certified Financial Planner (CFP®), or Certified Trust & Financial Advisor (CTFA), in any jurisdiction of the United States of America and meet certain educational requirements.

The applicant must be presently and significantly engaged in “estate planning activities” as an attorney, an accountant, an insurance professional and financial planner, or a trust officer. A minimum of five (5) years of experience engaged in estate planning and estate planning activities is required. To be exempt from the required education requirements, an applicant must have a minimum of fifteen (15) years of experience engaged in estate planning and estate planning activities.

AEP® applicants are required to be members of, and continuously maintain membership in, an affiliated local or regional estate planning council where such membership is available. Where no affiliated local council membership is available, the applicant is required to continuously maintain an At-Large individual membership in the National Association of Estate Planners & Councils.

AEP® applicants must continuously be in good standing with the applicant’s respective professional organization and/or license authority (e.g., State Bar Association for attorneys, etc.) and provide three (3) professional references prior to acceptance.

In addition, AEP® applicants must abide by the NAEPC Code of Ethics, acknowledge a commitment to the team concept of estate planning by signing a declaration statement and meet continuing education and re-certification requirements, which include the yearly payment of dues.

### **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**

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 ("*Act*"). The Registrant's Chief Compliance Officer, Justin K. Hult, 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 solicitor 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 Mr. Hult at (415) 526-2900.

**Item 1 Cover Page**

A.

**Gregory H. Friedman**

Private Ocean, LLC

Brochure Supplement  
Dated 3/28/13

Contact: Justin K. Hult, Chief Compliance Officer  
750 Lindaro Street, Suite 130  
San Rafael, California 94901

B.

**This Brochure Supplement provides information about Gregory H. Friedman that supplements the Private Ocean, LLC Brochure; you should have received a copy of that Brochure. Please contact Justin K. Hult, Chief Compliance Officer, if you did *not* receive Private Ocean, LLC's Brochure or if you have any questions about the contents of this supplement.**

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

**Item 2 Education Background and Business Experience**

Gregory H. Friedman was born in 1961. Mr. Friedman graduated from the University of California at San Diego with a Bachelor of Arts degree in Economics and from Golden Gate University, San Francisco with a Master of Science degree in Financial Planning (emphasis in Taxation). Mr. Friedman has been the President of Private Ocean, LLC since 2009 and Chief Executive Officer since 2012. Mr. Friedman founded Friedman & Associates, Inc. in 1991 and was a registered investment advisor of Friedman & Associates from 1991 through 2009.

Mr. Friedman has been a CERTIFIED FINANCIAL PLANNER™ since 1991. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (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 62,000 individuals have obtained CFP® certification in the United States.

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- Examination – Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, 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
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- 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.

### **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. Friedman is the Vice President and Stockholder (50%) of CRM Software, Inc., a provider of software to financial advisors and is not investment related. Mr. Friedman spends approximately 10 hours per week on CRM activities.

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

None.

#### **Item 6 Supervision**

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**Item 1 Cover Page**

A.

**Theo A. Gallier**

Private Ocean, LLC

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Dated 3/28/13

Contact: Justin K. Hult, Chief Compliance Officer  
750 Lindaro Street, Suite 130  
San Rafael, California 94901

B.

**This Brochure Supplement provides information about Theo A. Gallier that supplements the Private Ocean, LLC Brochure; you should have received a copy of that Brochure. Please contact Justin K. Hult, Chief Compliance Officer, if you did *not* receive Private Ocean, LLC's Brochure or if you have any questions about the contents of this supplement.**

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

**Item 2 Education Background and Business Experience**

Theo A. Gallier was born in 1947. Mr. Gallier graduated from Texas Tech University with a Bachelor of Arts degree in Economics and from the University of Texas at Austin with a Master of Business Administration degree in Finance. Mr. Gallier has been the Chief Investment Officer of Private Ocean, LLC since 2009 and has been with Private Ocean since 1985.

**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**

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 ("*Act*"). The Registrant's Chief Compliance Officer, Justin K. Hult, 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 solicitor 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 Mr. Hult at (415) 526-2900.

## **Item 1 Cover Page**

A.

**Frank J. Jones**

Private Ocean, LLC

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Dated 3/28/13

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750 Lindaro Street, Suite 130  
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B.

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

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

Frank J. Jones was born in 1940. Mr. Jones graduated from Notre Dame University with a Bachelor of Arts degree in Engineering and a Bachelor of Science degree in Physics, from the Cornell University with a Master of Science degree in Nuclear Engineering, the University of Pittsburgh with a Master of Business Administration degree and from Stanford University with a PhD in Economics. Dr. Jones has been the Chair of the Investment Committee of Private Ocean, LLC since 2009. Dr. Jones was previously Vice Chairman of the Board of Directors of the International Stock Exchange (2004-2006), Chairman of the Board of Directors of the International Stock Exchange (2006-2008), and is currently Vice Chairman of the Board of Directors of the ISE (2008-present). Dr. Jones was also a Senior Investment Advisor at Integrated Financial and Insurance Services (2003-2007). Dr. Jones is currently a Professor in the Accounting and Finance Department at the College of Business, San Jose State University (2003-present). Prior to San Jose State, Dr. Jones was Executive Vice President and Chief Investment Officer of Guardian Life Insurance Company of America (1991-2002).

### **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. Dr. Jones is a tenured full professor at Department of Accounting and Finance, College of Business, San Jose State University. He teaches undergraduate and graduate courses in Portfolio Theory, Business Valuation, and Corporate Finance. Dr. Jones spends approximately 50% of his time in this capacity.

Mr. Jones is the Chairman of the Board, Chairman of the Corporate Governance Committee of the International Securities Exchange (ISE). Dr. Jones spends approximately 20% of his time in this capacity.

### **Item 5 Additional Compensation**

None.

### **Item 6 Supervision**

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**Item 1 Cover Page**

A.

**Justin K. Hult**

Private Ocean, LLC

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

**Item 2 Education Background and Business Experience**

Justin K. Hult was born in 1974. Mr. Hult graduated from the University of Puget Sound with a Bachelor of Arts degree in Mathematics and from Washington University, St. Louis with a Bachelor of Science degree in Civil Engineering and a Master of Business Administration degree. Mr. Hult has been the Director of Investment Operations and Chief Compliance Officer of Private Ocean, LLC since 2009 and has been with Private Ocean since 2000.

**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**

None.

#### **Item 6 Supervision**

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**Item 1 Cover Page**

A.

**Robert Y. Anderson**

Private Ocean, LLC

Brochure Supplement  
Dated 3/28/13

Contact: Justin K. Hult, Chief Compliance Officer  
750 Lindaro Street, Suite 130  
San Rafael, California 94901

B.

**This Brochure Supplement provides information about Robert Y. Anderson that supplements the Private Ocean, LLC Brochure; you should have received a copy of that Brochure. Please contact Justin K. Hult, Chief Compliance Officer, if you did *not* receive Private Ocean, LLC's Brochure or if you have any questions about the contents of this supplement.**

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

**Item 2 Education Background and Business Experience**

Robert Y. Anderson was born in 1956. Mr. Anderson graduated from the Azusa Pacific University with a Bachelor of Arts degree in Business Administration and a Master of Business Administration in Taxation from Golden Gate University, San Francisco. Mr. Anderson has been with Private Ocean since 2012. Prior to Private Ocean, Mr. Anderson was a partner at Burr, Pilger & Mayer, Inc. and Vista Wealth Management in Walnut Creek, CA (2005-2012).

Mr. Anderson has been a CERTIFIED FINANCIAL PLANNER™ since 1992. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (collectively, the "CFP® marks") are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board").

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- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
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- 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.

Mr. Anderson has held the designation of Certified Public Accountant (“CPA”) since 1981. CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a

baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two year period or 120 hours over a three year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members 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. The vast majority of state boards of accountancy have adopted the AICPA's *Code of Professional Conduct* within their state accountancy laws or have created their own.

### 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. **Licensed Insurance Agent.** Mr. Anderson, 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. Anderson to purchase insurance products on a commission basis. **Conflict of Interest:** The recommendation by Mr. Anderson 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. Anderson. Clients are reminded that they may purchase insurance products recommended by Mr. Anderson through other, non-affiliated insurance agents. **The Registrant's Chief Compliance Officer, Justin K. Hult, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

**Certified Public Accountant.** Mr. Anderson, in his individual capacity, is a certified public accountant, and may recommend his tax preparation and/or accounting services. To the extent a client determines to engage Mr. Anderson to provide tax preparation and/or accounting services, such services shall be provided by Mr. Anderson in his individual capacity as a certified public accountant, independent of Registrant. Registrant shall receive no portion of



fees charged by Mr. Anderson for such services. **Conflict of Interest:** The recommendation by Mr. Anderson that a client elect his accounting services presents a *conflict of interest*, as the receipt of fees for accounting services may provide an incentive to recommend such services, rather than recommending such services based upon a particular client's needs. No client is under any obligation to utilize Mr. Anderson for accounting services. Clients are reminded that they may elect to obtain accounting services recommended by the Registrant through other non-affiliated certified public accountants. **The Registrant's Chief Compliance Officer, Justin K. Hult remains available to address any questions that a client or prospective may have regarding the above conflict of interest.**

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

None.

#### **Item 6 Supervision**

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**Item 1 Cover Page**

A.

**Charles (Chip) Pyfer**

Private Ocean, LLC

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Dated 3/28/13

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750 Lindaro Street, Suite 130  
San Rafael, California 94901

B.

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**Item 2 Education Background and Business Experience**

Chip Pyfer was born in 1969. Mr. Pyfer graduated from the University of Oregon with a Bachelor of Arts degree in 1992 and a JD degree from Willamette University College of Law in 1998. Mr. Pyfer has been with Private Ocean, LLC since 2009 and is currently a Wealth Manager. From 2008 through 2009, Mr. Pyfer was a Financial Advisor with Friedman & Associates, Inc. and from August 2006 through August 2008, Mr. Pyfer was the former Director of Private Wealth Management at BDO Seidman.

Mr. Pyfer has been a CERTIFIED FINANCIAL PLANNER™ since September 2012. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (collectively, the "CFP® marks") are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board").

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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.

Mr. Pyfer has held the designation of Certified Investment Management Analyst (CIMA®) since 2006. The CIMA® certification signifies that an individual has met initial and on-going experience, ethical, education, and examination requirements for investment management consulting, including advanced investment management theory and application. Prerequisites for

the CIMA<sup>®</sup> certification are three years of financial services experience and an acceptable regulatory history. To obtain the CIMA<sup>®</sup> certification, candidates must pass an online Qualification Examination, successfully complete a one-week classroom education program provided by a Registered Education Provider at an AACSB accredited university business school, and pass an online Certification Examination. CIMA<sup>®</sup> designees are required to adhere to IMCA's Code of Professional Responsibility, Standards of Practice, and Rules and Guidelines for Use of the Marks. CIMA<sup>®</sup> designees must report 40 hours of continuing education credits, including two ethics hours, every two years to maintain the certification. The designation is administered through Investment Management Consultants Association (IMCA<sup>®</sup>).

### **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**

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 ("*Act*"). The Registrant's Chief Compliance Officer, Justin K. Hult, 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 solicitor 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 Mr. Hult at (415) 526-2900.

**Item 1 Cover Page**

A.

**Sarah Wotherspoon**

Private Ocean, LLC

Brochure Supplement  
Dated 3/28/13

Contact: Justin K. Hult, Chief Compliance Officer  
750 Lindaro Street, Suite 130  
San Rafael, California 94901

B.

**This Brochure Supplement provides information about Sarah Wotherspoon that supplements the Private Ocean, LLC Brochure; you should have received a copy of that Brochure. Please contact Justin K. Hult, Chief Compliance Officer, if you did *not* receive Private Ocean, LLC's Brochure or if you have any questions about the contents of this supplement.**

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

**Item 2 Education Background and Business Experience**

Sarah Wotherspoon was born in 1973. Ms. Wotherspoon graduated from the University of Arizona with a Bachelor of Arts degree in Communications and a Master of Science in Financial Planning degree from the College for Financial Planning. Ms. Wotherspoon has been with Private Ocean, LLC since 2009 and is currently a Wealth Manager. From 2005 through 2009, Ms. Wotherspoon was a Financial Advisor with Friedman & Associates, Inc.

Ms. Wotherspoon has been a CERTIFIED FINANCIAL PLANNER™ since 2006. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (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 62,000 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, administered in 10 hours over a two-day period, 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.

### **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**

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 ("*Act*"). The Registrant's Chief Compliance Officer, Justin K. Hult, 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 solicitor 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 Mr. Hult at (415) 526-2900.

**Item 1 Cover Page**

A.

**Alex Gangl**

Private Ocean, LLC

Brochure Supplement  
Dated 3/28/13

Contact: Justin K. Hult, Chief Compliance Officer  
750 Lindaro Street, Suite 130  
San Rafael, California 94901

B.

**This Brochure Supplement provides information about Alex Gangl that supplements the Private Ocean, LLC Brochure; you should have received a copy of that Brochure. Please contact Justin K. Hult, Chief Compliance Officer, if you did *not* receive Private Ocean, LLC's Brochure or if you have any questions about the contents of this supplement.**

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

**Item 2 Education Background and Business Experience**

Alex Gangl was born in 1975. Mr. Gangl graduated from the University of Waterloo, Canada with a Bachelor of Science degree in Mechanical Engineering. Mr. Gangl has been with Private Ocean, LLC since 2009 and is currently a Wealth Advisor. From 2007 through 2009, Mr. Gangl was a Portfolio Specialist with Friedman & Associates, Inc.

Mr. Gangl has been a CERTIFIED FINANCIAL PLANNER™ since 2010. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (collectively, the "CFP® marks") are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board").

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conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 62,000 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;
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- 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.

Mr. Gangl has held the designation of Chartered Financial Analyst (CFA®) since August 2012. CFA® designates an international professional certificate that is offered by the CFA Institute. Candidates that pursue the certification have in-depth knowledge of securities types and investment vehicles. In order to qualify for a CFA®, candidates must meet standards for examination, education, experience, and ethics. First, candidates must possess a bachelor’s degree from an accredited school, or its equivalent. Second, candidates must have completed 48 months of qualified professional work experience, generally related to evaluating or applying

financial, economic, and/or statistical data as part of the investment decision-making process involving securities or similar investment. Third, candidates must pass a series of three six-hour exams that covers ethics, quantitative methods, economics, corporate finance, financial reporting and analysis, security analysis, and portfolio management. Finally, candidates must meet and continue to adhere to a strict Code of Ethics and Standards governing their professional conduct, as reviewed by the CFA Institute.

### **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**

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 ("*Act*"). The Registrant's Chief Compliance Officer, Justin K. Hult, 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 solicitor 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 Mr. Hult at (415) 526-2900.

**Item 1 Cover Page**

A.

**Michael Zachary Mangels**

Private Ocean, LLC

Brochure Supplement  
Dated 3/28/13

Contact: Justin K. Hult, Chief Compliance Officer  
750 Lindaro Street, Suite 130  
San Rafael, California 94901

B.

**This Brochure Supplement provides information about Michael Zachary Mangels that supplements the Private Ocean, LLC Brochure; you should have received a copy of that Brochure. Please contact Justin K. Hult, Chief Compliance Officer, if you did *not* receive Private Ocean, LLC's Brochure or if you have any questions about the contents of this supplement.**

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

**Item 2 Education Background and Business Experience**

Michael Zachary Mangels was born in 1985. Mr. Mangels graduated from the University of California, San Diego with a Bachelor of Science degree in Psychology. Mr. Mangels has been with Private Ocean, LLC since 2011 and is currently an Associate Wealth Advisor. Prior to Private Ocean, Mr. Mangels was a Tactical Wealth Coach/Junior Financial Planner at The Glowacki Group, LLC (2008-2011). Prior to The Glowacki Group, Mr. Mangels was earning his certification in personal financial planning at UCLA.

Mr. Mangels has been a CERTIFIED FINANCIAL PLANNER™ since 2012. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (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 62,000 individuals have obtained CFP® certification in the United States.

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- 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, administered in 10 hours over a two-day period, 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.

### **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**

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 ("*Act*"). The Registrant's Chief Compliance Officer, Justin K. Hult, 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 solicitor 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 Mr. Hult at (415) 526-2900.

**Item 1 Cover Page**

A.

**Justin N. deTray**

Private Ocean, LLC

Brochure Supplement

Dated 3/28/13

Contact: Justin K. Hult, Chief Compliance Officer  
750 Lindero Street, Suite 130  
San Rafael, California 94901

B.

**This Brochure Supplement provides information about Justin N. deTray that supplements the Private Ocean, LLC Brochure; you should have received a copy of that Brochure. Please contact Justin K. Hult, Chief Compliance Officer, if you did *not* receive Private Ocean, LLC's Brochure or if you have any questions about the contents of this supplement.**

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

**Item 2 Education Background and Business Experience**

Justin N. deTray was born in 1973. Mr. deTray graduated from Columbia College/Columbia University with a Bachelor of Arts in Physics. Mr. deTray has been with Private Ocean, LLC since 2013 and is currently an Associate Wealth Advisor. Prior to Private Ocean, Mr. deTray was an advisor assistant at Broadwing Capital Advisors (2012), a founding member of Skynet Futures, LLC, a futures trading software company (2010-2012) and a founding member of Atlas Trading, LLC (2001-2012).

**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**

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 ("*Act*"). The Registrant's Chief Compliance Officer, Justin K. Hult, 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 solicitor 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 Mr. Hult at (415) 526-2900.

## **Item 1 Cover Page**

A.

**William Bockwoldt**

Private Ocean, LLC

Brochure Supplement

Dated 3/28/13

Contact: Justin K. Hult, Chief Compliance Officer  
750 Lindaro Street, Suite 130  
San Rafael, California 94901

B.

**This Brochure Supplement provides information about William Bockwoldt that supplements the Private Ocean, LLC Brochure; you should have received a copy of that Brochure. Please contact Justin K. Hult, Chief Compliance Officer, if you did *not* receive Private Ocean, LLC's Brochure or if you have any questions about the contents of this supplement.**

**Additional information about William Bockwoldt 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 Bockwoldt was born in 1967. Mr. Bockwoldt graduated from DeVRY Institute of Technology with a Bachelor of Science degree in Electrical Engineering Technology and University of California – Walter A. Haas School of Business with a Masters of Business Administration degree. Mr. Bockwoldt has been with Private Ocean, LLC since 2012 and is currently an Associate Wealth Advisor. Prior to Private Ocean, Mr. Bockwoldt was Founder and CEO of VIBATO, LLC, a software company specializing in corporate compliance solutions (1009-2012) and UPEK, Inc, in Emoryville, CA.

## **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**

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 ("*Act*"). The Registrant's Chief Compliance Officer, Justin K. Hult, 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 solicitor 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 Mr. Hult at (415) 526-2900.

## **Item 1 Cover Page**

A.

**Sabrina K. Lee**

Private Ocean, LLC

Brochure Supplement

Dated 3/28/13

Contact: Justin K. Hult, Chief Compliance Officer  
750 Lindero Street, Suite 130  
San Rafael, California 94901

B.

**This Brochure Supplement provides information about Sabrina K. Lee that supplements the Private Ocean, LLC Brochure; you should have received a copy of that Brochure. Please contact Justin K. Hult, Chief Compliance Officer, if you did *not* receive Private Ocean, LLC's Brochure or if you have any questions about the contents of this supplement.**

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

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

Sabrina K. Lee was born in 1981. Ms. Lee graduated from the University of California, Davis with a Bachelor of Science degree in Psychology. Ms. Lee has been with Private Ocean, LLC since 2013 and is currently an Associate Wealth Advisor. Prior to Private Ocean, Ms. Lee was a ParaPlanner and Tax Preparer with Cathy Mu, CPA (2008-2013) as well as a Financial Advisor at Mass Mutual Financial Group (2012).

Ms. Lee has been a CERTIFIED FINANCIAL PLANNER™ since 2012. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (collectively, the "CFP® marks") are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board").

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conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 62,000 individuals have obtained CFP® certification in the United States.

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- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
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- 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.

### **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 continues to be engaged in tax preparation assistance for Cathy Mu, CPA. This outside activity has been reviewed and approved by Susan Dickson.

#### **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 ("*Act*"). The Registrant's Chief Compliance Officer, Justin K. Hult, 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 solicitor 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 Mr. Hult at (415) 526-2900.