

INVESTMENT ADVISOR BROCHURE SUPPLEMENT

FOR

STONEGATE FINANCIAL GROUP, LLC

INFORMATION ABOUT ADVISORS:

JAMESON VAN HOUTEN

JIM VAN HOUTEN

ALVIN TURNER

JOE KALMANOVITZ

LIA BAGGAO

APRIL, 2014

Jameson Van Houten, CFP®

Educational Background:

Jameson attended Pepperdine University for 2 years and then transferred to the Barrett Honors College at Arizona State University. He graduated from Barrett Honor College with a 4.0 GPA. He earned Valedictorian and Most Outstanding Graduating Senior, and graduated Summa Cum Laude and Phi Kappa Phi. Jameson was born November 4, 1975.

Jameson received his Certified Financial Planner (CFP) designation. CFP requires successful completion of five courses (taxation, investments, retirement planning, financial planning, and insurance). Upon completion of these courses, then a comprehensive two day examination is required.

In the securities industry, there are various examinations required to be licensed and function as an advisor. Jameson has the series 7 license (general securities) and series 63 license (state license).

Business Experience:

For the last five years Jameson has been President and Chief Investment Officer, and investment advisor with Stonegate Financial Group, LLC. Jameson is the owner of Stonegate.

Supervision:

Jameson is supervised by the Chief Compliance Officer of Stonegate, Jim Van Houten, CFP. Jim can be contacted at 602-953-8450.

Disciplinary Action:

None

Other Business Activities:

None

Additional Compensation:

None

Jim Van Houten, ChFC, CFP®

Educational Background:

Jim graduated from the University of Arizona with Bachelor's degree in Finance. He graduated Summa Cum Laude and Phi Kappa Phi. Jim was born July 13, 1947.

He received the Chartered Life Underwriter (CLU). This designation is specific for life and health insurance professionals. It involves the successful completion of 10 courses plus 3 years of experience.

Jim received a Master of Science in Financial Services (MSFS). This involved completing 12 courses with a total of 36 college hours of graduate credits.

He received the Chartered Financial Consultant (ChFC) designation. This required the attainment of the CLU and the completion of three additional courses.

Jim earned a Master of Science in Management (MSM). He was required to complete 12 courses with a total of 36 college hours of graduate credits.

Jim received the Certified Financial Planner (CFP) designation.

Jim has the series 6 license (for mutual funds), series 7 license, series 22 license (limited partnerships), series 24 license (supervisor of general securities), series 51 license (supervisor of 529 education plans), and series 63 license (state license).

Business Experience:

For the last 5 years Jim has been a Senior Investment Advisor and Chief Compliance Officer with Stonegate Financial Group, LLC.

Supervision:

Jim in his role as the Chief Compliance Officer of Stonegate is supervised by the Compliance Department of Crown Capital Securities, L.P. They can be reached at (714) 547-9481.

Disciplinary Information:

None

Other Business Activities:

None

Additional Compensation: None

Alvin Turner

Education Background:

Alvin has the series 6, 63 and 65 licenses. Alvin was born July 16, 1952.

Business Experience:

For the last 5 years, Alvin has been the owner of Benefit Strategies, LLC, an employee benefits company. In addition, he has been an advisor with Stonegate.

Supervision:

Alvin is supervised by the Chief Compliance Officer of Stonegate, Jim Van Houten, CFP. Jim can be contacted at 602-953-8450.

Disciplinary Information:

None

Other Business Activities:

Described above

Additional Compensation:

Described above

Joe Kalmanovitz

Education Background:

Joe graduated from the University of Santa Barbara with a degree in Business Economics. Joe was born January 19, 1978.

Joe has series 7 and 66 licenses.

Business Experience:

Joe worked at Trautman Wasserman & Co, Inc. in San Francisco from 2001 to 2002. He then worked with the Signature Estate & Investment Advisors, LLC in Los Angeles from 2002 to 2005.

He became a Vice President – Financial Consultant with Charles Schwab & Co, Inc. in Scottsdale, AZ from 2005 to 2013. On April 8, 2013 Joe joined Stonegate Financial Group, LLC.

Supervision:

Joe is supervised by the Chief Compliance Officer of Stonegate, Jim Van Houten, CFP. Jim can be reached at 602-953-8450.

Disciplinary Information:

None

Other Business Activities:

None

Additional Compensation:

None

Lia Baggao

Educational Background:

Lia graduated from Harvard University with a degree in Psychology. She was born January 22, 1988. She has series 6,7,63, and 65 licenses.

Business experience:

Lia worked for The Vanguard Group from July, 2010 to January, 2013. She then worked for Miller/Russell & Associates from January, 2013 to March, 2014. On April 3, 2014 she joined Stonegate Financial Group, LLC.

Supervision:

Lia is supervised by the Chief Compliance Officer of Stonegate, Jim Van Houten, CFP. Jim can be reached at 602-953-8450.

Disciplinary information:

None

Other business activities:

None

Additional compensation:

None