

BROCHURE SUPPLEMENT  
ITEM 1: COVER SHEET

Lesley J. Brey

L.J. Brey, Inc.  
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This Brochure Supplement provides information about Lesley J. Brey that supplements the L.J. Brey, Inc. Brochure. You should have received a copy of that Brochure. Please contact Lesley J. Brey, President at (808) 526-2644 or [ljbrey@ljbreyninc.com](mailto:ljbrey@ljbreyninc.com) if you did not receive L.J. Brey, Inc.'s Brochure or if you have any questions about the content of this supplement.

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

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ITEM 2: EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Lesley J. Brey was born in 1959.

Educational Background

<u>School Name</u>	<u>Degree</u>	<u>Year</u>	<u>Major(s)</u>
Pomona College	BA	1981	Mathematics
Stanford University	MSCE	1984	Civil Engineering
Chaminade University	MBA	1988	Business Administration

Employment Background

Employment Dates: 10/1996 - Present  
Firm Name: L.J. Brey, Inc.  
Type of Business: Investment Adviser  
Job Title & Duties: Fee Only Financial Planner and Investment Advisory

## Professional Designations

Chartered Financial Analyst (CFA) – 1999

Certified Financial Planner (CFP) – 2000

NAPFA-Registered Financial Advisor 2000

Accredited Investment Fiduciary® (AIF®) – 2007

The CFA Charterholder designation is issued by the CFA Institute. In order to receive this designation, a candidate must have either: 1) an undergraduate degree and 4 years of professional experience involving investment decision-making, or 2) 4 years qualified work experience (full time, but not necessarily investment related). Each candidate must complete a self-study program of 250 hours of study for each of the 3 levels. Once a candidate passes each of the three 6-hour exams and meets the appropriate experience requirements the CFA charterholder designation may be used. There are no continuing education requirements.

The CFP designation is issued by the Certified Financial Planner Board of Standards, Inc. In order to receive a CFP designation, the candidate must have a bachelor's degree or higher from an accredited college or university and have 3 years of full-time personal financial planning experience. In addition, the candidate must complete a CFP board-registered program or hold one of the following: CPA, ChFC, Chartered Life Underwriter(CLU), CFA, Ph.D. in business or economics, Doctor of Business Administration or attorney's license. Once the designation is earned, the CFP must complete 30 hours of continuing education every 2 years.

The NAPFA-Registered Financial Advisor designation is issued by the National Association of Personal Financial Advisors (NAPFA). In order to receive this designation, the candidate must hold the CFP or CPA/PFS designation, sign NAPFA's fiduciary oath, receive compensation solely from the clients (Fee-Only), submit a financial plan for peer review, have a bachelor's degree or higher from an accredited college or university and have a minimum of 3 years of full-time personal financial planning experience. Once the designation is earned, the NAPFA-Registered Financial Advisor must complete 60 hours of continuing education every 2 years including required continuing education hours in six core planning areas and ethics.

The AIF designation certifies that the recipient has specialized knowledge of fiduciary standards of care and their application to the investment management process. To receive the AIF designation, individuals must complete a training program, successfully pass a comprehensive, closed-book final examination under the supervision of a proctor and agree to abide by the AIF Code of Ethics. In order to maintain the AIF designation, the individual must annually renew their affirmation of the AIF Code of Ethics and complete six hours of continuing education credits. The certification is administered by the Center for Fiduciary Studies, LLC (a Fiduciary360 (fi360) company).

## ITEM 3: DISCIPLINARY INFORMATION

Registered investment advisors are required to disclose any material facts regarding any legal or disciplinary actions that would be material to your evaluation of each investment advisor representative providing investment advice to you. There is no information of this type to report.

#### ITEM 4: OTHER BUSINESS ACTIVITIES

Ms. Brey is not involved in any other business activities.

#### ITEM 5: ADDITIONAL COMPENSATION

Ms. Brey does not receive any economic benefit from any non-client for providing advisory services.

#### ITEM 6: SUPERVISION

Ms. Brey, President, is the owner and sole person providing investment advice on our behalf. Her telephone number is (808) 526-2644.