

**ITEM 1: COVER PAGE FOR  
PART 2B OF FORM ADV:  
BROCHURE SUPPLEMENT  
DATED JUNE 2012**

**THU KA**

**WEALTH DESIGN, LLC  
1999 S. BASCOM AVENUE, SUITE 530  
CAMPBELL, CA 95008**

**FIRM CONTACT: THU KA, CHIEF COMPLIANCE OFFICER**

**FIRM WEBSITE ADDRESS: [WWW.WEALTHDESIGNLLC.COM](http://WWW.WEALTHDESIGNLLC.COM)**

**This brochure supplement provides information about Thu Ka that supplements our brochure. You should have received a copy of that brochure. Please contact Thu Ka if you did not receive our firm's brochure or if you have any questions about the contents of this supplement.**

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

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

### **Thu Ka**

Born in 1964

#### **Business Background:**

11/2010 to Present Registered Representative, Comprehensive Asset Management & Servicing, Inc., Parsippany, NJ  
01/2000 to Present Chief Compliance Officer, Wealth Design, LLC, Campbell, CA  
09/2002 to 01/2010 Registered Representative, LPL Financial, Campbell, CA

#### **Education Background:**

1987: Oklahoma State University, Bachelor of Science in Business

#### **Exams:**

05/2003 - Series 63

09/2002 - Series 7

California Insurance License

## **Item 3 Disciplinary Information**

If there are legal or disciplinary events material to your evaluation of Thu Ka, we are required to disclose all material facts regarding those events.<sup>1</sup>

We have nothing to disclose in this regard.

## **Item 4 Other Business Activities**

- A. If Thu Ka is actively engaged in any investment-related business or occupation, including if Thu Ka is registered, or has an application pending to register, as a broker-dealer, registered representative of a broker-dealer, futures commission merchant ("FCM"), commodity pool operator ("CPO"), commodity trading advisor ("CTA"), or an associated person of an FCM, CPO, or CTA, we are required to disclose this fact and describe the business relationship, if any, between the advisory business and the other business.

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<sup>1</sup> Note: Our firm may, under certain circumstances, rebut the presumption that a disciplinary event is material. If an event is immaterial, we are not required to disclose it. When we review a legal or disciplinary event involving Thu Ka to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of Thu Ka to the advisory function; (2) the nature of the infraction that led to the disciplinary event; (3) the severity of the disciplinary sanction; and (4) the time elapsed since the date of the disciplinary event. If we conclude that the materiality presumption has been overcome, we prepare and maintain a file memorandum of our determination in our records.

1. If a relationship between the advisory business and Thu Ka's other financial industry activities creates a material conflict of interest with you, describe the nature of the conflict and generally how we address it.

We have nothing to disclose in this regard.

2. If Thu Ka receives commissions, bonuses or other compensation based on the sale of securities or other investment products, including as a broker-dealer or registered representative, and including distribution or service ("trail") fees from the sale of mutual funds, we have to disclose this fact. If this compensation is not cash, we are required to explain what type of compensation Thu Ka receives. We must explain that this practice gives Thu Ka an incentive to recommend investment products based on the compensation received, rather than on your needs.

Thu Ka is a registered representative of Comprehensive Asset Management and Servicing, Inc. ("CAMAS"), 2001 Hwy 46, Ste. 506, Parsippany, NJ 07054, 1-800-637-3211 Member FINRA/SIPC. She does not offer securities to clients or receive commissions.

- B. If Thu Ka is actively engaged in any business or occupation for compensation not discussed in response to Item 4.A, above, and the other business activity or activities provide a substantial source of Thu Ka's income or involve a substantial amount of Thu Ka's time, we are required to disclose this fact and must describe the nature of that business. If the other business activities represent less than 10 percent of Thu Ka's time and income, we may presume that they are not substantial.

Thu Ka is a licensed insurance agent but does not sell insurance products to clients.

## **Item 5            Additional Compensation**

If someone who is not a client provides an economic benefit to Thu Ka for providing advisory services, we are required to generally describe the arrangement. For purposes of this Item, economic benefits include sales awards and other prizes, but do not include Thu Ka's regular salary. Any bonus that is based, at least in part, on the number or amount of sales, client referrals, or new accounts should be considered an economic benefit, but other regular bonuses should not.

We have nothing to disclose in this regard.

## **Item 6            Supervision**

We are required to explain how we supervise Thu Ka, including how we monitor the advice Thu Ka provides to you. Our firm has to provide the name, title and telephone number of the person responsible for supervising Thu Ka's advisory activities on behalf of our firm.

Thu Ka is the Chief Compliance Officer and as such has no internal supervision placed over her. She is however bound by our firm's Code of Ethics. Please contact Thu Ka if you have any questions about Thu Ka's brochure supplement at 408-558-1660.

## **Item 7            Requirements for State-Registered Advisers**

A. In addition to the events listed in Item 3 of Part 2B, if Thu Ka has been involved in one of the events listed below, we disclose all material facts regarding the event.

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:

- (a) an investment or an investment-related business or activity;
- (b) fraud, false statement(s), or omissions;
- (c) theft, embezzlement, or other wrongful taking of property;
- (d) bribery, forgery, counterfeiting, or extortion; or
- (e) dishonest, unfair, or unethical practices.

We have nothing to disclose in this regard.

2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:

- (a) an investment or an investment-related business or activity;
- (b) fraud, false statement(s), or omissions;
- (c) theft, embezzlement, or other wrongful taking of property;
- (d) bribery, forgery, counterfeiting, or extortion; or
- (e) dishonest, unfair, or unethical practices.

We have nothing to disclose in this regard.

B. If Thu Ka has been the subject of a bankruptcy petition, we must disclose that fact, the date the petition was first brought, and the current status.

We have nothing to disclose in this regard.