

**Item 1 – Cover Page**

Century Capital, LLC

dba

Moser Wealth Advisors

2135 112<sup>th</sup> Ave NE, #110

Bellevue, WA 98004

425-451-1850

[www.CenturyCapitalLLC.com](http://www.CenturyCapitalLLC.com)

March 29 2011

This Brochure provides information about the qualifications and business practices of Century Capital, LLC. If you have any questions about the contents of this Brochure, please contact us at 425-451-1850 and/or [Meg@CenturyCapitalLLC.com](mailto:Meg@CenturyCapitalLLC.com). The information in this Brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Century Capital, LLC is a registered investment adviser. Registration of an Investment Adviser does not imply any level of skill or training. The oral and written communications of an Adviser provide you with information about which you determine to hire or retain an Adviser.

Additional information about Century Capital, LLC also is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 2 – Material Changes**

On July 28, 2010, the United State Securities and Exchange Commission published “Amendments to Form ADV” which amends the disclosure document that we provide to clients as required by SEC Rules. This Brochure dated March 29, 2011 is a new document prepared according to the SEC’s new requirements and rules. As such, this Document is materially different in structure and requires certain new information that our previous brochure did not require.

In the future, this Item will discuss only specific material changes that are made to the Brochure and provide clients with a summary of such changes. We will also reference the date of our last annual update of our brochure.

In the past we have offered or delivered information about our qualifications and business practices to clients on at least an annual basis. Pursuant to new SEC Rules, we will ensure that you receive a summary of any materials changes to this and subsequent Brochures within 120 days of the close of our business’ fiscal year. We may further provide other ongoing disclosure information about material changes as necessary.

We will further provide you with a new Brochure as necessary based on changes or new information, at any time, without charge.

Currently, our Brochure may be requested by contacting Meg Pickle, Office Manager, at 425-451-1850 or Meg@CenturyCapitalLLC.com. Our Brochure is also available on our web site [www.CenturyCapitalLLC.com](http://www.CenturyCapitalLLC.com), also free of charge.

Additional information about Century Capital, LLC is also available via the SEC’s web site [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). The SEC’s web site also provides information about any persons affiliated with Century Capital, LLC who are registered, or are required to be registered, as investment adviser representatives of Century Capital, LLC.

### Item 3 -Table of Contents

Item 1 – Cover Page .....	i
Item 2 – Material Changes .....	ii
Item 3 - Table of Contents.....	iii
Item 4 – Advisory Business .....	1
Item 5 – Fees and Compensation.....	2
Item 6 – Performance-Based Fees and Side-By-Side Management.....	3
Item 7 – Types of Clients .....	3
Item 8 – Methods of Analysis, Investment Strategies and Risk of Loss .....	3
Item 9 – Disciplinary Information.....	4
Item 10 – Other Financial Industry Activities and Affiliations .....	4
Item 11 – Code of Ethics .....	4
Item 12 – Brokerage Practices .....	7
Item 13 – Review of Accounts .....	7
Item 14 – Client Referrals and Other Compensation .....	8
Item 15 – Custody.....	8
Item 16 – Investment Discretion .....	8
Item 17 – Voting Client Securities .....	9
Item 18 – Financial Information .....	9
Item 19 – Requirements for State-Registered Advisers .....	9
Brochure Supplement(s)	

#### **Item 4 – Advisory Business**

A. Century Capital, LLC is a Registered Investment Advisor founded in 1999 to provide financial planning and investment management services to individuals and businesses.

B. Clients are provided independent representation via fee only services. By receiving compensation only from clients, the firm's interests are aligned with our clients and our success is dependent upon meeting client's expectations. Century Capital, LLC delivers professional investment advisory services individually tailored for each client to achieve optimal performance, net of fees and taxes, within an acceptable risk tolerance. Client's investment strategies are designed to meet the goals and objectives identified through the development of their investment profile.

The firm's principal owner is Scott Moser. Scott is a CPA with twenty five years experience in providing financial planning, tax, retirement, estate and business planning services. The firm operates under the name of Moser Wealth Advisors which includes the operations of Moser & Company, CPAs, a Certified Public Accounting Firm.

Century Capital, LLC was setup in response to client demand for more comprehensive financial planning solutions including portfolio management, performance measurement and investment tax reporting services. Providing portfolio management services in-house provides clients with a seamless platform to obtain tax and financial planning services from a single source.

C. We tailor our advisory services for clients to address tax considerations, concentrated holdings, restrictions on investing in specific securities or other relevant factors. Clients communicate these limitations on our Risk Assessment survey.

Century Capital, LLC provides portfolio management services including identifying and trading securities on behalf of clients. In addition to securities, we may offer advice on Partnership, Trust, and LLC investments.

D. We do not participate in wrap fee programs.

E. As of December 31, 2010, our firm currently provides discretionary portfolio management services on \$33,500,000. We do not track assets managed on a non-discretionary basis, however, we estimate that we advise on a substantially larger sum of assets on a non-discretionary basis than our discretionary assets.

## Item 5 – Fees and Compensation

A. Advisory fees are based on the value of the account at the beginning of each calendar quarter according to the schedule below. However, the minimum annual fee per client is \$5,000.

Assets Under Management			Annual Fee
\$	-0- to	\$ 1,000,000	1.0%
\$	1,000,001 to	\$ 2,000,000	0.8%
\$	2,000,001 to	above	negotiable

B.C.D. Compensation is payable quarterly, in advance, deducted from client assets. Clients incur brokerage transaction costs, as well as mutual fund expenses. The client may terminate the investment advisory contract by notifying Century Capital, LLC, in writing, at its principal place of business. If the client terminates the relationship, a prorated refund will be made to the client for any unearned fees. The initial fee for new client assets held for a partial quarter shall be pro-rated based on the end of the 1<sup>st</sup> partial quarters account balance. Pro-rated figures are based upon the ratio of the number of days assets are under management to the total days in the quarter.

Hourly investment advice and client requested due diligence on specific securities are billed at current hourly rate ranging from \$100 - \$500 per hour.

We report client returns net of fees. However, we fully disclose our fees up front. Our strategy is to provide individualized service at about the same or lower overall cost to clients as the fees currently charged by open ended mutual funds. For example, if you combine our annual fee with all third party transaction costs and fund expenses you incur under our management, it should total less than 1.2%. (See discussion below regarding third party fees). For most clients, their total costs will not increase and often will decrease with our management style. Clients receive additional savings through our emphasis on minimizing the tax impact of investment returns. By reducing turnover, implementing tax free and tax deferred pension plans, using deferred exchange tools and most importantly, managing your portfolio with your specific tax situation in mind we seek to maximize your after-tax, after-fee returns.

E. Neither Century Capital, LLC nor any of its associated staff receive any compensation for the sale of securities or other investment products.

**Third Party Fees:** Century Capital, LLC's fees are exclusive of brokerage commissions, transaction fees, and other related costs and expenses which shall be incurred by the client. Clients may incur certain charges imposed by custodians, brokers, third party investment and other third parties such as fees charged by managers, custodial fees, deferred sales charges, odd-lot differentials, transfer taxes, wire transfer and electronic fund fees, and other fees and taxes on brokerage accounts and securities transactions. Mutual funds and

exchange traded funds also charge internal management fees, which are disclosed in a fund's prospectus. Such charges, fees and commissions are exclusive of and in addition to Century Capital, LLC's fee, and we shall not receive any portion of these commissions, fees, and costs.

Item 12 further describes the factors that Century Capital, LLC considers in selecting or recommending broker-dealers for client transactions and determining the reasonableness of their compensation (*e.g.*, commissions).

### **Item 6 – Performance-Based Fees and Side-By-Side Management**

Century Capital, LLC does not charge any performance-based fees (fees based on a share of capital gains on or capital appreciation of the assets of a client).

### **Item 7 – Types of Clients**

Century Capital, LLC provides portfolio management services to individuals, trusts, businesses, , corporate pension and profit-sharing plans. Our minimum account size for discretionary management is \$500,000.

### **Item 8 – Methods of Analysis, Investment Strategies and Risk of Loss**

Our investment methodology relies on selecting a diversified portfolio of securities that will meet our clients long-term target rate of return consistent with the level of volatility each client is willing to accept. We use analytical software designed to predict both return and volatility based on historical trends to develop each portfolio. We then measure the progress of each portfolio on a quarterly basis to ensure the portfolio stays within our expected parameters.

Individual security selections must generally meet the following criteria:

- Management should demonstrate a strong track record
- Must demonstrate and maintain strong fundamentals
- Avoid proprietary securities that are non-transferable or lack liquidity
- No entry or exit fees such as front loads, back loads or marketing costs
- Funds must exhibit history of below average operating costs
- Taxable funds must avoid unnecessary taxable distributions
- Funds should follow a clear, consistent and predictable philosophy

Our goal is to provide clients with a rate of return equal to or exceeding the return of the selected relative benchmarks consistent with each clients risk profile, net of all fees. Since we are attempting to match a relative benchmark, clients may lose money. Investing in securities involves risk of loss that clients should be prepared to bear. Your portfolio may be worth more or less when you withdraw your funds.

### **Item 9 – Disciplinary Information**

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of Century Capital, LLC or the integrity of Century Capital, LLC's management. We have never had a complaint filed against our firm or against any individual working within our firm nor any related firm.

### **Item 10 – Other Financial Industry Activities and Affiliations**

Century Capital, LLC officers are active members of Moser & Company, CPAs, a certified public accounting firm. Most clients are also active clients of the CPA firm where we provide accounting, tax & business advisory services.

Investment advisory client accounts are established at a third party broker dealer. Schwab Institutional is our primary custodian though we do use other custodians such as Fidelity Investments and Vanguard. Century Capital, LLC manages client accounts via a Limited Power of Attorney and Trading Authorization provided by each client.

Broker-Dealer and trust companies that custodian assets for most clients may be required to provide Century Capital, LLC with software at no cost, to translate client data from one computer format to another, provide account and other services to facilitate our work. There are no requirements for the placement of business, nor guarantees or expectations of either party that the provision of the software or services will be repaid.

### **Item 11 – Code of Ethics**

Century Capital, LLC has adopted a Code of Ethics for all supervised persons of the firm describing its high standard of business conduct, and fiduciary duty to its clients. The Code of Ethics includes provisions relating to the confidentiality of client information, a

prohibition on insider trading, a prohibition of rumor mongering, restrictions on the acceptance of significant gifts and the reporting of certain gifts and business entertainment items, and personal securities trading procedures, among other things. All supervised persons at Century Capital, LLC must acknowledge the terms of the Code of Ethics annually, or as amended.

Century Capital, LLC anticipates that, in appropriate circumstances, consistent with clients' investment objectives, it will cause accounts over which Century Capital, LLC has management authority to effect, and will recommend to investment advisory clients or prospective clients, the purchase or sale of securities in which Century Capital, LLC, its affiliates and/or clients, directly or indirectly, have a position of interest. Our employees and persons associated with Century Capital, LLC are required to follow our Code of Ethics. Subject to satisfying this policy and applicable laws, officers, directors and employees of Century Capital, LLC and its affiliates may trade for their own accounts in securities which are recommended to and/or purchased for our clients. The Code of Ethics is designed to assure that the personal securities transactions, activities and interests of the employees of Century Capital, LLC will not interfere with (i) making decisions in the best interest of advisory clients and (ii) implementing such decisions while, at the same time, allowing employees to invest for their own accounts. Certain classes of securities have been designated as exempt transactions, based upon a determination that these would materially not interfere with the best interest of our clients. The Code requires pre-clearance of certain transactions, and restricts trading in close proximity to client trading activity. Nonetheless, because the Code of Ethics in some circumstances would permit employees to invest in the same securities as clients, there is a possibility that employees might benefit from market activity by a client in a security held by an employee. Employee trading is monitored under the Code of Ethics, and to reasonably prevent conflicts of interest between Century Capital, LLC and its clients.

Certain affiliated accounts may trade in the same securities with client accounts on an aggregated basis when consistent with Century Capital, LLC 's obligation of best execution. In such circumstances, the affiliated and client accounts will share commission costs equally and receive securities at a total average price. Century Capital, LLC will retain records of the trade order (specifying each participating account) and its allocation, which will be completed prior to the entry of the aggregated order. Completed orders will be allocated as specified in the initial trade order. Partially filled orders will be allocated on a pro rata basis. Any exceptions will be explained on the Order.

Century Capital, LLC 's clients or prospective clients may request a copy of the firm's Code of Ethics by contacting Meg Pickle.

It is our policy that the firm will not affect any principal or agency cross securities transactions for client accounts. Century Capital, LLC will also not cross trades between client accounts. Principal transactions are generally defined as transactions where an adviser, acting as principal for its own account or the account of an affiliated broker-dealer,



buys from or sells any security to any advisory client. A principal transaction may also be deemed to have occurred if a security is crossed between an affiliated hedge fund and another client account. An agency cross transaction is defined as a transaction where a person acts as an investment adviser in relation to a transaction in which the investment adviser, or any person controlled by or under common control with the investment adviser, acts as broker for both the advisory client and for another person on the other side of the transaction. Agency cross transactions may arise where an adviser is dually registered as a broker-dealer or has an affiliated broker-dealer.

#### Participation or Interest in Client Transactions

When individuals employed by, or associated with Century Capital, LLC purchase or sell listed securities they are subject to restrictions on trading. All employee trades are monitored by management of Century Capital, LLC to assure they are in compliance with U.S. Securities and Exchange Commission regulations.

Employees or associates of Century Capital, LLC are prohibited from soliciting sales or giving investment advice on closely held securities, thinly traded securities, or any securities in which they have a material interest. No securities are placed in client accounts that any employees, or associates of Century Capital, LLC have a material interest or are thinly traded or closely held. There is no minimum dollar value for starting an account with Century Capital, LLC. However, we do not encourage accounts of less than \$500,000. Advisors are prohibited from trading securities in quantities that affect the market price by more than 5%, for their own account, or that may give a third party reason to question the advisor's independence.

#### Code of Ethics

CPAs and Financial Advisers are bound by a code of ethics that are more stringent than that required by Federal and State Law. We adhere to those high standards of business and conduct and require our supervised personnel to do the same. We will provide a copy of our Code of Ethics to any client or prospective client upon request. Below are some of the general principles involved in a high standard of ethics. This is NOT intended to be all-inclusive, however.

- All employees must comply with Federal and State securities law.
- Each will adhere to the highest standards of ethical conduct.
- Each will maintain the confidentiality of all information obtained in the course of employment.
- Each will not engage in any activities that create a conflict of interest between themselves and the company or the clients.

- All supervised persons must file a complete report of their personal securities trading at the time access is gained to client files and at least quarterly thereafter.
- Each will report any violations of the Code of Ethics to the Compliance Officer of the firm.
- Each is required to read the Code of Ethics and initial to show acknowledgement of having received a copy.

## **Item 12 – Brokerage Practices**

Securities are bought and sold without specific client consent. Portfolios are managed and balanced to conform to the client's pre-approved Investment Policy Statement. The amount of securities traded is based upon the account size, and the investment philosophy selected by the client in their Investment Policy Statement. There are no specific limitations on the amount of securities to be traded.

The broker - dealer recommended by Century Capital, LLC for its managed accounts at this time is Schwab Institutional. However, we will work with another broker - dealer if the client stipulates a specific one.

In the event that a client directs Century Capital, LLC to use a particular broker - dealer, Century Capital, LLC may not be authorized under those circumstances to negotiate commissions and may not be able to obtain volume discounts or best execution. In addition, under these circumstances, a disparity in commission charges may exist between the commission charged to clients who direct Century Capital, LLC to use a particular broker - dealer and other clients who do not direct Century Capital, LLC to use a particular broker - dealer. The commission rates paid to any broker - dealer are their standard listed commissions or reduced rates negotiated by Century Capital, LLC.

Clients are generally informed regarding each of these items. Decisions must be consistent with the client's Investment Policy Statement. Brokers may be selected based on their product availability. We do not accept payment or services for broker recommendations.

### **Broker Selection & Commission Reasonability**

The criteria for suggesting a broker - dealer include reasonableness of commissions, other costs of trading, ability to facilitate trades, access to client records, computer trading support, and other operational considerations.

At least annually Century Capital, LLC will review all procedures to ensure they are always in the best interest of the clients by seeking to obtain best execution, minimizing transaction costs and using the client broker best suited for the client's accounts.

### **Item 13 – Review of Accounts**

Reviews are conducted by registered professionals within the firm: Scott Moser and Alvin Wolcott, Investment Advisor Representatives, on a quarterly basis. Reviews are intended to insure the accuracy of account information. Annual reviews are intended to insure the client's goals are being accomplished.

Clients receive quarterly reports providing client balances and a performance review with comments on relevant economic issues. Client positions are updated daily and are available to clients each day via the Internet via a third party web interface.

### **Item 14 – Client Referrals and Other Compensation**

Century Capital, LLC does not receive or pay any form of economic benefit for client referrals.

### **Item 15 – Custody**

Clients should receive at least quarterly statements from the broker dealer, bank or other qualified custodian that holds and maintains client's investment assets. Century Capital, LLC urges clients to carefully review such statements and compare the official custodial records to the account statements that we provide. Our statements may vary from custodial statements based on accounting procedures, reporting dates, or valuation methodologies of certain securities.

One of the benefits of using a third party custodian is that it provides an additional layer of internal control. Many of the recent fraudulent scams relied on the investment adviser also performing the duties of the custodian. This removed an important check and balance from the system. Our system allows us to monitor the activity of the custodian as well as allowing you to compare our reports and activity with the custodian reports to ensure both reports are accurate.

### **Item 16 – Investment Discretion**

Century Capital, LLC receives discretionary authority from the client at the outset of an advisory relationship to select the identity and amount of securities to be bought or sold. In all cases, discretion is to be exercised in a manner consistent with the stated investment objectives for the particular client account.

When selecting securities and determining amounts, Century Capital, LLC observes the

investment policies, limitations and restrictions of the clients for which it advises. For registered investment companies, our authority to trade securities may also be limited by certain federal securities and tax laws that require diversification of investments and favor the holding of investments once made.

Investment guidelines and restrictions must be provided to Century Capital, LLC in writing.

### **Item 17 – Voting Client Securities**

Clients may retain their ability to vote proxies or they may authorize Century Capital, LLC to vote proxies on their behalf. Clients may obtain a copy of our proxy voting policies and procedures upon request. Century Capital, LLC may decide not to vote proxies or may vote them as deemed, in aggregate, for clients in their best interests or clients may contact Century Capital, LLC to direct how they would like to direct their vote.

### **Item 18 – Financial Information**

Registered investment advisers are required in this item to provide you with certain financial information or disclosures about our financial condition. Century Capital, LLC has no financial commitment that impairs its ability to meet contractual and fiduciary commitments to clients, and has not been the subject of a bankruptcy proceeding.

### **Item 19 – Requirements for State-Registered Advisers**

See attached Brochure Supplements.

**Item 1- Cover Page**

Matthew Scott Moser  
Century Capital, LLC  
Db  
Moser Wealth Advisors  
2135 112<sup>th</sup> Ave NE, Suite 100  
Bellevue, WA 98004  
425-451-1850  
March 29, 2011

**This Brochure Supplement provides information about Scott Moser that supplements the Century Capital, LLC Brochure. You should have received a copy of that Brochure. Please contact Meg Pickle, Office Manager if you did not receive Century Capital, LLC's Brochure or if you have any questions about the contents of this supplement.**

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

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

Matthew Scott Moser (Scott) - Year of birth 1959

**Professional Title:**

President, Century Capital, LLC;  
President, Moser Wealth Advisors, PLLC, Certified Public Accountants (DBA Moser & Company, CPAs)

**Educational Background:**

Masters degree in Taxation from Golden Gate University, 1991  
B.S. in Accounting, Central Washington University, 1984

**Professional Designations & Memberships:**

Certified Public Accountant in Washington State, 1985

Member: AICPA, WSCPA, WSCPA Personal Financial Planning Committee, PFS (CPA designation as a Personal Financial Specialist) & NAPFA (National Association of Personal Financial Advisors)

**Licenses:**

Registered Investment Advisor Representative, Series 66, 1998

General Securities Principal, Series 24, 1998

**Certified Public Accountant (CPA)** - 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 degree (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.

**Personal Financial Specialist (PFS)** - The PFS credential demonstrates that an individual has met the minimum education, experience and testing required of a CPA in addition to a minimum level of expertise in personal financial planning. To attain the PFS credential, a candidate must hold an unrevoked CPA license, fulfill 3,000 hours of personal financial planning business experience, complete 80 hours of personal financial planning CPE credits, pass a comprehensive financial planning exam and be an active member of the AICPA. A PFS credential holder is required to adhere to AICPA's *Code of Professional Conduct*, and is encouraged to follow AICPA's *Statement on Responsibilities in Financial Planning Practice*. To maintain their PFS credential, the recipient must complete 60 hours of financial planning CPE credits every three years. The PFS credential is administered through the AICPA.

**National Association of Personal Financial Advisors (NAPFA)**- NAPFA members must be Fee-Only financial advisor, defined as one who is compensated solely by the client with neither the advisor nor any related party receiving compensation that is contingent on the

purchase or sale of a financial product. Neither Members nor Affiliates may receive commissions, rebates, awards, finder's fees, bonuses or other forms of compensation from others as a result of a client's implementation of the individual's planning recommendations. "Fee-offset" arrangements, 12b-1 fees, insurance rebates or renewals and wrap fee arrangements that are transaction based are examples of compensation arrangements that do not meet the NAPFA definition of Fee-Only practice.

Members must abide by the NAPFA Code of Ethics, Standards of Membership and Affiliation, Bylaws, resolutions adopted by the Board and all rules set forth in the NAPFA Policies and Procedures Manual.

NAPFA requires members to attain 60 hours of continuing education every two years including 32 hours in each of the following core areas: Insurance & Risk Management, Investments, Income Tax Planning, Retirement Planning & Employee Benefits, Estate Planning, and Communications & Counseling; and a minimum of 2 hours in Ethics of Financial Planning.

### **Item 3- Disciplinary Information**

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No complaint has ever been filed against Scott.

### **Item 4- Other Business Activities**

Scott operates a Wealth Management firm that includes comprehensive financial planning services some of which are provided by an independent certified public accounting firm. A substantial portion of revenue is generated by the public accounting firm.

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

No additional compensation is paid to anyone for referrals or endorsements.

### **Item 6 - Supervision**

Scott is responsible for the supervision of all firm members to ensure each one is in compliance with all regulatory and ethical standards. The firm's code of ethics is available upon request.

**Item 1- Cover Page**

Alvin L Wolcott, II  
Century Capital, LLC  
Db  
Moser Wealth Advisors  
2135 112<sup>th</sup> Ave NE, Suite 100  
Bellevue, WA 98004  
425-451-1850  
March 29, 2011

**This Brochure Supplement provides information about Alvin L. Wolcott, II that supplements the Century Capital, LLC Brochure. You should have received a copy of that Brochure. Please contact Meg Pickle, Office Manager if you did not receive Century Capital, LLC's Brochure or if you have any questions about the contents of this supplement.**

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

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

Alvin L Wollcot, II -Year of birth, 1972

**Education Background:**

Walla Walla University: 1991 – 1996. Graduated with a Bachelor in Theology

University of Washington: 2005 – 2006. Graduated with a Master of Professional Accounting (Taxation)

**Business Background:**

08/2009 – Present	Moser Wealth Advisors, PLLC, Bellevue, WA	Accountant
04/2009 – 08/2009	Alvin's Tax & Financial Solutions, Renton, WA	Self-Employment
10/2004 – 04/2009	Berntson Porter & Company, Bellevue, WA	Accountant



Professional Designations:

Certified Public Accountant in Washington State 2006

Licenses:

Registered Investment Advisor Representative, Series 65, 2009;

Series 63, 1996; Series 66, 2001

Licensed Registered Representative of FINRA NASD Brokerage, Series 7, 2001

FINRA NASD license, Series 6, 1996

**Certified Public Accountant (CPA)** - 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

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No complaint has ever been filed against Alvin.

### Item 4- Other Business Activities

Alvin is also employed as an Accountant with Moser Wealth Advisors and is a registered Certified Public Accountant in the state of Washington since 2006.

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

Alvin receives no other additional compensation regarding advisory services.

#### **Item 6 - Supervision**

Alvin is supervised on a continuous basis through his hours worked, personal trading reports reported quarterly, client trade blotters, review of client correspondence, and overlap of client contact with other employees of the firm.

All Personal Trading Reports are submitted and reviewed quarterly by Scott Moser, President of Century Capital, LLC, 425-451-1850.