

# BONNIE F. RICE, CTFA<sup>®</sup>, ChFC<sup>®</sup>

This brochure provides supplemental information about Bonnie F. Rice, CTFA<sup>®</sup>, ChFC<sup>®</sup>. This supplements the East West Capital Management, LLC dba East West Wealth Management, LLC (“EWWM”) brochure, which should have also been provided to you. Please contact Bonnie Rice at EWWM if you need the EWWM brochure or if you have any questions.

Additional information about EWWM is also available at the SEC’s website [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) (under “investment adviser firm” and type in our firm name).

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## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Bonnie F. Rice, CTFA<sup>®</sup>, ChFC<sup>®</sup>**

Year Born: 1961

### **Educational Background:**

B.A., International Trade – Texas Tech University (1983)

National Trust School (1995)

### **Business Background:**

11/2005 – Present: *Director of Private Client Services*, East West Capital Management, LLC dba East West Wealth Management, LLC

10/1991 – 11/2005: *Vice President & Senior Investment Officer*, Bishop Street Capital Management (First Hawaiian Bank)

### **Professional Qualifications:**

Series 6, Investment Company Products/Variable Contracts Limited Representative Examination (2000)

Series 63, Uniform Securities Agent Laws (2000)

### **Professional Designations:**

Chartered Financial Consultant (ChFC<sup>®</sup>)

Certified Trust and Financial Advisor (CTFA<sup>®</sup>)

### **Explanations of Designations:**

ChFC<sup>®</sup>: (Chartered Financial Consultant)

This designation is a professional designation representing completion of a comprehensive course consisting of financial education, examinations and practical experience. Chartered Financial Consultant designations are granted by The American College upon completion of seven required courses and two elective courses. Those who earn the designation are understood to be knowledgeable in financial matters and to have the ability to provide sound advice.

In order to be considered for the program, the applicant must already have a minimum of three years working in the financial industry. In addition, it is recommended that applicants have a degree related to finance or business before applying as it will make the program much easier.

CTFA®: (Certified Trust and Financial Advisor)

You must meet the following prerequisites to qualify to take the CTFA® certification examination:

#### 1. Professional Experience and Education

- A minimum of three (3) years' experience in wealth management as well as completion of one of the following ICB-approved wealth management training programs:
- ABA Trust Schools, American Bankers Association
- AIB Personal Trust Diploma and the ABA Online Review Course for the CTFA® Examination, American Bankers Association\*
- Cannon Financial Institute Trust Schools
- Campbell University's Trust & Investment Management Program
- Southern Trust School
- Five (5) years' experience in wealth management and a bachelor's degree, or
- Ten (10) years' experience in wealth management

#### 2. Professional Reference

- One letter of recommendation is required from your manager attesting to your qualifications for certification, including your wealth management experience and your ethical character. The letter must be signed and on corporate letterhead.
- Wealth management experience is defined as direct experience in the various facets of delivering financial planning and fiduciary services relating to trusts, estates, IRAs and individual asset management accounts. This experience further includes providing administrative, investment management, tax, legal and marketing services. Please note -- experience in employee benefit trust, corporate trust or securities/trust operations does not qualify as wealth management experience.

#### 3. Ethics Statement

Each candidate must sign ICB's Professional Code of Ethics statement. Please note -- you must furnish all pertinent information about any convictions or pleas of nolo contendere on the grounds of fraud, embezzlement, unfair or deceptive practices, securities law violations, misappropriation of property, fraudulent conversations or any civil or administrative action from which you have been previously found liable.

#### 4. Application

You must complete and submit the application. You are required to meet the eligibility requirements at the time that you submit your application.

Maintenance requirements

To maintain your CTFA in good standing, you must adhere to ICB's Professional Code of Ethics, pay an annual fee, and complete 45 credits of continuing education every three years, with a minimum of six hours in each of four knowledge areas. In addition, you are required to complete three continuing education credits in Ethics.

### **ITEM 3 - DISCIPLINARY INFORMATION**

Bonnie F. Rice has no legal or disciplinary events that are material to you or a prospective client's evaluation of this advisory business.

### **ITEM 4 - OTHER BUSINESS ACTIVITIES**

The principal business of EWWM is that of a registered investment advisor and provider of financial planning services.

### **ITEM 5 - ADDITIONAL COMPENSATION**

Other than work with EWWM and any disclosures made in Items 2 and 4 above, Bonnie F. Rice receives no additional compensation related to outside business activities.

### **ITEM 6 – SUPERVISION**

Bonnie F. Rice, CTFA<sup>®</sup>, ChFC<sup>®</sup> is a supervising member of EWWM along with Gregory E. Ratte, CFA<sup>®</sup>. As such Bonnie F. Rice, CTFA<sup>®</sup>, ChFC<sup>®</sup> is not supervised, but works closely with the other partner(s) in the firm. All supervising members will remain aware of and keep us in compliance with the current rules and regulations put forth by each ruling regulatory authority where we conduct our business. The supervising members may be contacted at the address or phone number on the cover page of this document.

### **ITEM 7 - REQUIREMENTS FOR STATE-REGISTERED ADVISERS**

*State securities authorities require this disclosure and it is provided to you for evaluating this investment advisor representative's suitability.*

Bonnie F. Rice has never been found liable in arbitration or liable in a civil, self-regulatory organization, or administrative proceeding involving an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Bonnie F. Rice has never been the subject of a bankruptcy petition.