



Item 1 - Cover Page

FORM ADV PART 2B\*  
**Brochure Supplement:**

Professional Background of  
**Ross Gaudoin**

**September 2012**

126 Clock Tower Place, No. 101  
Carmel, California 93923

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

Tel: 831.625.5800

Fax: 831.621.0605

\*This brochure supplement provides information about the qualifications of Ross Gaudoin, the Firm's Chief Financial Officer. This is a supplement to the Astera Part 2A brochure which you should have received previously. Please contact the Firm's Chief Compliance Officer, Daniel Grover, if you have not received the brochure or if you have any questions about the contents of this supplement. Additional information about Astera is available on the internet at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 - Educational Background and Business Experience

### ROSS GAUDOIN

#### Born

1972

#### Education

Duquesne University, B.S., Accounting, *cum laude*, (1994)

Duquesne University School of Law, Juris Doctor ("J.D.")(1997)

#### Business Background

|                |  |
|----------------|--|
| 2012 - Present | First Republic Investment Management, Inc., Managing Director              |
| 2008 - Present | Astera Financial Group, LLC; Principal and Chief Financial Officer         |
| 2006 - 2008    | Wells Fargo Private Client Services; Wealth Management Planning Strategist |
| 1997 - 2006    | Herndon, Morton, Herndon & Yeager; Attorney                                |

#### Professional Licenses

Mr. Gaudoin has passed the following FINRA exams: Series 65

#### Professional and Community Activities

Mr. Gaudoin was born in Salinas and he and his wife, Patricia, a practicing attorney, have two daughters.

## Item 3 - Disciplinary Information

Mr. Gaudoin has no legal or disciplinary events or disclosures.

## Item 4 - Other Business Activities

Mr. Gaudoin is an employee of First Republic Investment Management Inc., a third party investment advisor registered with the U.S. Securities and Exchange Commission ("SEC"). First Republic Investment Management Inc. is a wholly-owned subsidiary of First Republic Bank, a California bank. (These affiliated First Republic Bank entities are collectively referred to as "First Republic".)

First Republic is otherwise independent from and unaffiliated with Astera.

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

Other than in connection with his employment by First Republic as described above, and as disclosed in Item 12 of the Firm's Form ADV Part 2A related to the Firm's receipt of unsolicited discounts on software or brokerage services from the Partnership's custodian Schwab, Mr. Gaudoin does not receive any economic benefit from any non-client for the provision of investment advisory services.

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

Mr. Gaudoin is supervised by Mr. Daniel J. Grover, the Firm's Chief Compliance Officer and Mr. Brian Corley, the Firm's Managing Member. Supervision is ongoing and includes account reviews, trade supervision, annual compliance reviews including the forensic testing of Firm systems, staff meetings and employee reviews.

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

Mr. Gaudoin has not been the subject of a bankruptcy filing. Nor has he ever been found liable in any proceeding involving claims of investment-related business activity, fraud, false statements or omissions, theft, embezzlement, other wrongful taking of property, bribery, forgery, counterfeiting, extortion, or dishonest, unfair or unethical practices. Mr. Gaudoin reached a compromise with a mortgage lender in excess of \$2,500 related to his disposition of a personal residence in 2011.