

NELLY O. MUBASHI

This brochure provides supplemental information about Nelly Mubashi (“Investment Advisor Representative”, “IAR”, “Employee”) that supplements the Northwest Asset Management brochure, which should have also been provided to you. Please contact Nelly Mubashi at Northwest Asset Management if you need the Northwest Asset Management brochure or if you have any questions.

Additional information about Northwest Asset Management is also available at the SEC’s website www.adviserinfo.sec.gov (under “investment adviser firm” and type in our firm name).

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NORTHWEST ASSET MANAGEMENT
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ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Nelly O. Mubashi

Year Born: 1979

Educational Background:

M.S.F., Finance – Seattle University (2009)

B.A., Business Administration and Finance – Warren Wilson College (2002)

Business Background:

08/2008 – Present: *Partner, Operations Manager, Investment Advisor Representative*, NWAM, LLC dba Northwest Asset Management

08/2008 – Present: *Registered Representative*, Purshe Kaplan Sterling Investments

08/2006 – 08/2008: *Financial Advisor*, UBS Financial Services, Inc.

09/2003 – 08/2006: *Financial Advisor Associate*, US Bancorp Piper Jaffray

04/2002 – 07/2003: *Account Manager in Collections*, US Bank

Professional Qualifications:

Series 7, General Securities Representative Examination (2004)

Series 66, Uniform Combined State Law Examination (2004)

Professional Designation(s):

Chartered Retirement Plans Specialist (CRPS®)

Explanation(s) of Designations:

CRPS®: (Chartered Retirement Plans Specialist)

The CRPS is specifically targeted at professionals who design, install, and maintain retirement plans for the business community. Applicants must also disclose any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct. Conferment of the designation is contingent upon the College for Financial Planning's review of matters either self-disclosed or which are discovered by the College that are required to be disclosed.

Successful students receive a certificate and are granted the right to use the designation on correspondence and business cards for a two-year period.

Every two years, CRPS professionals must complete 16 hours of continuing education and pay a nominal fee to continue using the designation.

Students must sign and return the Code of Ethics forms within six months of passing the final exam. Failure to complete and submit the forms within this time frame may result in termination of the individual's candidacy. If an individual wishes to apply for authorization to use the Marks in the future, he or she may be required to fulfill the initial designation requirements in place at the time of passing the exam.

Successful students receive a certificate and are granted the right to use the designation on correspondence and business cards for a two-year period.

Continued use of the CRPS® designation is subject to ongoing renewal requirements. Every two years individuals must renew their right to continue using the CRPS® designation by:

- Completing 16 hours of continuing education;
- Reaffirming to abide by the Standards of Professional Conduct, Terms and Conditions,
- Self-disclose any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct; and
- Paying a biennial renewal fee



ITEM 3 - DISCIPLINARY INFORMATION

Nelly Mubashi has no legal or disciplinary events that are material to a Client's or prospective Client's evaluation of this advisory business.

ITEM 4 - OTHER BUSINESS ACTIVITIES

The principal business of Advisor is that of a registered investment advisor and provider of financial planning services. Ms. Mubashi is also a registered representative of a broker-dealer. When acting in the capacity of a registered representative, Ms. Mubashi may receive the usual and customary commissions or fees on the products the Client purchases. Receiving commissions on products may cause a conflict of interest. Therefore, the advisory Client is free to select any broker-dealer the client desires for implementation of Advisor's recommendations.



ITEM 5 - ADDITIONAL COMPENSATION

Other than work with Northwest Asset Management and disclosures made in Item 4 above, Nelly Mubashi receives no additional compensation related to outside business activities.

ITEM 6 – SUPERVISION

Nelly Mubashi is not a supervising authority at Northwest Asset Management and works closely with and is supervised by Gregory A. Headrick, Managing Member and Chief Compliance Officer. Mr. Headrick may be contacted at the address or phone number on the cover page of this document.