

# STEVEN J. HERING

This brochure provides supplemental information about Steven J. Hering (“Investment Advisor Representative”, “IAR”, “Employee”) that supplements the NWAM, LLC dba Northwest Asset Management brochure, which should have also been provided to you. Please contact Steven J. Hering 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](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

**Steven J. Hering**

Year Born: 1950

### **Educational Background:**

B.A., University of Denver (1972)

### **Business Background:**

10/2009 – Present: *Investment Advisor Representative*, NWAM, LLC dba Northwest Asset Management

02/2009 – 10/2009: *Financial Advisor*, Wells Fargo Advisors, LLC

01/2008 – 02/2009: *Financial Advisor*, Wachovia Securities, LLC

01/1989 – 01/2008: *Financial Advisor*, A.G. Edwards & Sons, Inc.

### **Professional Qualifications:**

Series 3, National Commodities Futures Examination (1986)

Series 7, General Securities Representative Examination (1987)

Series 63, Uniform Securities Agent Laws (1986)

Series 65, Uniform Investment Adviser Law Examination (1997)



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

Steven J. Hering made a compromise with creditors on a credit card to pay it off at a reduced rate/amount. As of 01.14.2004 he has paid it off in full.



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

The principal business is that of a Registered Investment Advisor (RIA) and provider of financial planning services.



## **ITEM 5 - ADDITIONAL COMPENSATION**

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

## **ITEM 6 – SUPERVISION**

Steven J. Hering 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.