

# MARTY E. PAUL

This brochure provides supplemental information about Marty E. Paul (“Investment Advisor Representative”, “IAR” or “Employee”) that supplements the NWAM, LLC dba Northwest Asset Management brochure, which should have also been provided to you. Please contact Marty E. Paul 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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## TABLE OF CONTENTS

Item 2 - Educational Background and Business Experience.....	3
Item 3 - Disciplinary Information .....	3
Item 4 - Other Business Activities.....	3
Item 5 - Additional Compensation.....	4
Item 6 – Supervision.....	4
Item 7 - Requirements for State-Registered Advisers.....	4

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Marty E. Paul**

Year Born: 1971

### **Educational Background:**

B.S., Business Administration, Economics – University of Washington (1994)

### **Business Background:**

03/2011 – Present: *Director of Private Wealth Group*, NWAM, LLC dba Northwest Asset Management

03/2008 – 03/2011: *Branch Director*, RBC Capital Markets Corporation

03/1998 – 03/2008: *Managing Director*, RBC Dain Rauscher Inc.

### **Professional Qualifications:**

Series 7, General Securities Representative Examination (1994)

Series 8, General Securities Sales Supervisor Examination (1997)

Series 63, Uniform Securities Agent Laws (1994)

Series 65, Uniform Investment Adviser Law Examination (1994)

## ITEM 3 - DISCIPLINARY INFORMATION

Marty E. Paul 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. As well, Marty E. Paul engages in the following business activities:

- MP14 – this is a real estate development firm where Mr. Paul is a consultant.
- Dorothy Development, LLC - this is a real estate development firm where Mr. Paul is a consultant.
- MP4, LLC - this is an LLC that owns a commercial building where he is a passive partner.
- MP22, LLC - this is a land development firm where he is an active owner. Some of his duties are: filing tax returns, compiling and analyzing profit/loss statements and outsourced management.

## **ITEM 5 - ADDITIONAL COMPENSATION**

Other than work with Northwest Asset Management and any disclosures made in Items 2 and 4 above, Marty E. Paul receives no additional compensation related to outside business activities.

## **ITEM 6 – SUPERVISION**

Marty E. Paul is not a supervising authority at Northwest Asset Management but does work closely with and is supervised by the supervising member of the firm. The supervising member is Gregory A. Headrick; who will remain aware of and keep the Firm in compliance with the current rules and regulations put forth by each ruling regulatory authority where the Firm conducts its business. Gregory A. Headrick 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.*

Other than disclosures made in Item 3 above, Marty E. Paul 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. Marty E. Paul has never been the subject of a bankruptcy petition.