



KINGSVIEW

ASSET MANAGEMENT

Firm Brochure Supplement (Part 2B of Form ADV)

This brochure supplement provides information about the following employees that supplements the KVAM brochure. You should have received a copy of that brochure. Please contact Noel Sinclair, Chief Compliance Officer if you did not receive KVAM's brochure or if you have any questions about the contents of this supplement.

Additional information about the following employees is available on the SEC's website at www.adviserinfo.sec.gov.

Kingsview Asset Management, LLC
Firm CRD#: 148107
111 W. Jackson Blvd Suite 1140
Chicago, IL 60604
P. 312-870-6701

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Al Abaroa , Personal CRD # 2311221
Professional Licenses :Series 65,3,30
Located at 8751 W Broward BLVD Suite 501 Plantation, FL 33324
954-703-3400

Educational Background

- DOB: 09/1971
- Florida International University Graduated 1994
- Bachelors Degree in International Business

Business Experience:

- 2014- Present Kingsview Asset Management, LLC Co-President and investment advisor representative
- 2011-present Kingsview LLC, Branch Manager
- 2009-2011- Options Pro Corp, Commodities Broker
- 2004-2007- Vision Registered Representative
- 1995-2009 Time Leverage Capital Commodities Broker

Other Business Activities:

Mr. Abaroa is an Branch Manager for Kingsview, LLC and can affect futures transactions and may receive separate, yet customary commission compensation for affecting futures transactions. This may represent a potential conflict of interest because he may receive commissions derived from customers introduced by KVAM.

Mr. Abaroa is an Associated Person and Compliance Officer for Kingsview, LLC and can affect futures transactions.

Supervision:

Al is supervised by Sean McGillivray. He reviews Al's work through frequent office interactions as well as remote interactions.

Sean McGillivray's contact information:

1867 Williams Hwy, Suite 223
Grants Pass, OR 97527
smcgillivray@kingsviewam.com

Arbitration Claims: N/A

Self-Regulatory Organization or Administrative Proceeding: N/A

Bankruptcy Petition: N/A

Sean McGillivray, Personal CRD #6135768
Professional Licenses (FINRA series 3, 30, 65), Insurance Licensed.
Located at: 1867 Williams Hwy, Suite 223, Grants Pass, OR 97527 (541) 244-2623

Educational Background:

- Date of Birth: 05/1984
- Rogue Community College-Grants Pass, OR 2002-2003

Business Experience:

- 10/2013 to Present, Kingsview Asset Management, LLC Co President
- 10/2013 to Present, Branch Manager, Kingsview ,LLC/ President
- 02/2013 to 10/2013, Investment Advisor Representative, Great Pacific Wealth Management
- 05/2012 to Present, President, Great Pacific Capital Management
- 11/2004 to 10/2013, Vice President, Great Pacific Trading Company

Other Business Activities:

Mr. McGillivray is an Branch Manager and President of Kingsview, LLC and can affect futures transactions and may receive separate, yet customary commission compensation for affecting futures transactions. This may represent a potential conflict of interest because he may receive commissions derived from customers introduced by KVAM.

Mr. McGillivray is licensed to sell insurance products and may receive separate, yet customary commission compensation for affecting insurance sales. This may represent a potential conflict of interest because he may receive commissions derived from customers introduced by KVAM.

Supervision:

Sean McGillivray is supervised by Noel Sinclair. He reviews Sean McGillivray's work through frequent office interactions as well as remote interactions.

Noel Sinclair's contact information:

111 W. Jackson Blvd. Suite 1140
Chicago, IL 60604
Phone: 312-870-6701
nsinclair@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Noel Sinclair, Personal CRD #1479648
Professional Licenses (FINRA series 65), Insurance Licensed, Series 3 and 30
Located at: 141 W. Jackson Blvd., Suite 3636, Chicago, IL 60604 (312) 870-6701

Educational Background:

- Date of Birth: 10/1956
- Wilbur Wright Junior College-Chicago, IL 1975-1977
- B.A. Political Science Roosevelt University – Chicago, IL 1977-1979

Business Experience:

- 10/2008 to Present, Managing Director\Chief Compliance Officer Kingsview Asset Management, LLC
- 02/2011 to Present, Managing Director & Compliance Officer, Kingsview, LLC
- 02/2009 to 12/2014, Branch Manager, Vision Brokerage Service, LLC
- 08/2009 to 02/2009, Registered Representative, U.S. Financial Investments Inc.
- 08/2002 to 07/2008, Branch Manager, 1st Discount Brokerage, Inc.
- 04/1996 to 08/2002, Branch Manager, Acument Securities, Inc.

Other Business Activities:

Mr. Sinclair is an Associated Person and Compliance Officer for Kingsview, LLC and can affect futures transactions.

Mr. Sinclair is licensed to sell insurance products and may receive separate, yet customary commission compensation for affecting insurance sales. This may represent a potential conflict of interest because he may receive commissions derived from customers introduced by KVAM.

Supervision:

Noel Sinclair is supervised by Sean McGillivray. He reviews Noel Sinclair's work through remote interactions.

Sean McGillivray's contact information:

1867 Williams Hwy, Suite 223

Grants Pass, OR 97527

Phone: 541-244-2623

smcgillivray@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Brian Atkins, Personal CRD #6100366
Professional Licenses (FINRA series 65), Insurance Licensed.
Located at: 117 W. Main Street, Cary, IL 60013 (847) 639-7830

Educational Background:

- Date of Birth: 10/1976
- No college degree attained

Business Experience:

- 02/2014 to Present, Investment Advisor Representative Kingsview Asset Management
- 11/2011 to Present, CEO Atkins and Associates LLC
- 12/2007 to Present, Principal, Essence Capital Group Inc.
- 02/2001 to 12/2007, AP, Commodity Broker, Allendale Inc.
- 11/1999 to 01/2001, AP, Commodity Broker RJ Obrien Associates LLC

Other Business Activities:

Mr. Atkins is the principal of Atkins and Associates LLC ("A&A"). A&A is the general partner of Voyage Fund LP, Plexus Fund LP, and Global Currency Reserve LP. This may represent a potential conflict of interest because he may receive commissions derived from customers introduced by Kingsview Asset Management, LLC.

Mr. Atkins is an Associated Person for Essence Capital Group Inc. and can affect futures transactions and may receive separate, yet customary commission compensation for affecting futures transactions. This may represent a potential conflict of interest because he may receive commissions derived from customers introduced by Kingsview Asset Management, LLC.

Mr. Atkins is licensed to sell insurance products and may receive separate, yet customary commission compensation for affecting insurance sales. This may represent a potential conflict of interest because he may receive commissions derived from customers introduced by Kingsview Asset Management, LLC.

Supervision:

Brian Atkins is supervised by Noel Sinclair. He reviews Mr. Atkins's work through frequent office interactions as well as remote interactions.

Noel Sinclair's contact information:

111 W. Jackson Blvd. 1140
Chicago, IL 60604
312-870-6701

nsinclair@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Phil Bodine, Personal CRD 2423204
Professional Licenses (Series 65), Insurance Licensed
Located at: 4168 DOUGLAS BLVD STE 200, GRANITE BAY, CA 95746
Phone: 916-878-1045

Educational Background:

- DOB: 03/1964
- University of Indiana 1989, BS in Business
- LUTCF – Life Underwriter Training Council Fellow 1992

Business Experience:

- 09/2010 to 08/2014 – Broker Securites America
- 05/2008 to 08/2010 – Broker Cambridge Investment research
- 12/1993 to 03/2008 – Broker with O.N. Equity Sales Company

Other Business Activities: None

Supervision:

Phil Bodine is supervised by Sean McGillivray. He reviews Phil's work through frequent office interactions as well as remote interactions.

Sean McGillivray's contact information:
1867 Williams Hwy, Suite 223
Grants Pass, OR 97527
smcgillivray@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Zach Brown, Personal CRD # 5575463
Professional Licenses (FINRA Series 66), Insurance Licensed.
Located at: 2218 Main St., Suite A; Lafayette, In 47904; 765-388-9119

Educational Background:

- Date of Birth: 02/1951
- B.S. Computer Informational Systems Purdue University - West Lafayette, IN 1997-2001
-

Business Experience:

- 06/2014 – Present, Investment Advisor Representative, Kingsview Asset Management, LLC
- 02/2013 - 06/2014 Financial Advisor , Larson Financial Group, LLC
- 02/2013 -06/2014 Registered Representative, Larson Financial Securities, LLC
- 07/2008 -02/2013 Financial Advisor Trainee, Edward Jones
- 11/2007-07/2008 QA / IT Manager, Stalcop
- 12/2005- 11/2007 IT Supervisor, Pefcu
- 06/2004- 12/2005 IT Director, Landec Ag

Other Business Activities:

Mr. Brown is licensed to sell insurance products and may receive separate, yet customary commission compensation for affecting insurance sales. This may represent a potential conflict of interest because he may receive commissions derived from customers introduced by KVAM.

Supervision:

Zach Brown is supervised by Noel Sinclair. He reviews Zach Brown's work through frequent office interactions as well as remote interactions.

Noel Sinclair's contact information:

111 W. Jackson Blvd. Suite 1140
Chicago, IL 60604
Phone: 312-870-6701
nsinclair@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Joshua Chase, Personal CRD #6175958

Professional Licenses (FINRA series 3, 65)

Located at: 8751 W. Broward Blvd., Ste 501, Plantation, FL 33324 (954) 703-3400

Educational Background:

- Date of Birth: 08/1980
- University of Massachusetts, B.A. in Political Science 1999-2004

Business Experience:

- 04/2013 to Present, Investment Advisor Representative Kingsview Asset Management LLC.
- 0/2011 to Present, Associated Person, Kingsview, LLC.
- 06/2009 to 04/2011, Associated Person, Options Pro Corp.
- 02/2008 to 06/2009, Associated Person, Time Leverage Capital Corp.
- 09/2007 to 02/2008, Mortgage Broker, Premier Financial
- 01/2007 to 09/2007, Mortgage Broker, Advantage Mortgage Corp.
- 01/2005 to 01/2007, Mortgage Broker, Family American Mortgage
- 10/2004 to 01/2005, Account Executive, Strictly Advertising
- 09/1999 to 06/2004, Student, University of Massachusetts

Other Business Activities:

Mr. Chase is an Associated Person for Kingsview, LLC and can affect futures transactions and may receive separate, yet customary commission compensation for affecting futures transactions. This may represent a potential conflict of interest because he may receive commissions derived from customers introduced by Kingsview Asset Management, LLC.

Supervision:

Noel Sinclair, Chief Compliance Officer, supervises Josh Chase. He reviews Mr. Chase's work through frequent office interactions as well as remote interactions.

Noel Sinclair's contact information:

111 W. Jackson Blvd. Suite 1140

Chicago, IL 60604

312-870-6701

nsinclair@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Doug Clark, Personal CRD #823921

Professional Licenses (FINRA series 3, 30, 65)

Located at: 1749 Travertine Terrace, Sanford, FL 32771 (407) 739-4439

Educational Background:

- Date of Birth: 05/1946
- Schoolcraft College, Bus. Adm. Livonia, Michigan 1964-1966
- Seminole State College BA Accounting, Sanford Florida 1974 -1976
- Univ. of Central Florida Business, Orlando Florida 1976
- Rollins College, Economics, Winter Park, Florida 1976

Business Experience:

- 04/2013 to Present, Investment Advisor Representative, Kingsview Asset Management, LLC
- 02/2012 to Present, Associated Person, Kingsview LLC
- 10/1999 to 12/2010, President, Clark Asset Management Co.
- 09/1988 to 10/1999, Associate V.P. Consulting Services, Dean Witter Morgan Stanley
- 12/1984 to 07/1988, Executive V.P. Real Estate Investments, Knoxville Assoc.
- 06/1982 to 12/1984, Registered Representative Associate V.P. of Direct Investments, Lehman Brothers
- 11/1980 to 06/1982, Registered Representative, Prudential Equity Group LLC

Other Business Activities:

Mr. Clark is an Associated Person for Kingsview, LLC and can affect futures transactions and may receive separate, yet customary commission compensation for affecting futures transactions. This may represent a potential conflict of interest because he may receive commissions derived from customers introduced by Kingsview Asset Management, LLC.

Supervision:

Noel Sinclair, Chief Compliance Officer, supervises Doug Clark. He reviews Doug Clark's work through frequent office interactions as well as remote interactions.

Noel Sinclair's contact information:

111 W. Jackson Blvd. Suite 1140

Chicago, IL 60604

312-870-6701

nsinclair@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Mitchell Ehmka, Personal CRD #6097923
Professional Licenses (FINRA Series 3, 65)
Located at: 141 W. Jackson Blvd., Suite 3636, Chicago, IL 60604 (312) 870-6701

Educational Background:

- Date of birth: 04/1986
- 8/2004 – 12/2007 Bachelor of Science in Aviation Management / Flight Option
Florida Institute of Technology – Melbourne, FL

Business Experience:

- 02/2011 to Present, Associated Person, Kingsview, LLC, Chicago IL
- 10/2012 to Present, Investment Advisor Representative, Kingsview Asset Management, Chicago IL
- 06/2009 to 02/2011, Associated Person, Options Pro Corp – Plantation, FL
- 08/2008 to 06/2009, Associated Person, Time Leverage Capital – Plantation, FL
- 12/2007 to 08/2008, Flight Instructor, Sawyer Aviation – Scottsdale, AZ

Other Business Activities:

Mr. Ehmka is an Associated Person for Kingsview, LLC and can affect futures transactions and may receive separate, yet customary commission compensation for affecting futures transactions. This may represent a potential conflict of interest because he may receive commissions derived from customers introduced by Kingsview Asset Management, LLC.

Supervision:

Noel Sinclair, Chief Compliance Officer, supervises Mitchell Ehmka. Mr. Ehmka is located in the KVAM Chicago Branch Office so he is directly supervised by Mr. Sinclair.

Noel Sinclair contact information:

111 W. Jackson Blvd. Suite 1140
Chicago, IL 60604
312-870-6701
nsinclair@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Name: Tim Gentry Personal CRD 2937149
Professional Licenses Series 3
Located at: 141 W. Jackson Blvd, Chicago,IL 60604
Phone#815-292-9840

Educational Background:

- DOB: 03/1974
- Indiana University, Forest Park High School, Ferdinand Indiana

Business Experience:

- Senior Customer Care Advocate J.C. Whitney and Warshawski; Trade Desk and Customer Service Supervisor and Registered Representative for Terra Nova Trading

Other Business Activities: Commodities Broker

Supervision:

Tim is supervised by Noel Sinclair. He reviews Tim's work through frequent office interactions as well as remote interactions.

Noel Sinclair's contact information:

111 W. Jackson Blvd. Suite 1140

Chicago, IL 60604

Phone: 312-870-6701

nsinclair@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Wade Patrick Lahmann, Personal CRD 2749208
Professional Licenses (Series 65), Insurance Licensed
Located at: 2281 Lava Ridge Way Suite 120, GRANITE BAY, CA 95661
Phone: 916-226-1535

Educational Background:

- DOB:04/1963
- High school diploma

Business Experience:

- 08/2005 to 07/2014 – Ameritas Investment Corp.
- 06/2005 to 08/2005 – AXA Advisors, LLC
- 01/2004 to 06/2005 – Mony Securities Corp.

Other Business Activities: None

Disciplinary Actions: None

Supervision:

Wade Lahmann is supervised by Sean McGillivray. He reviews Wade's work through frequent office interactions as well as remote interactions.

Sean McGillivray's contact information:

1867 Williams Hwy, Suite 223
Grants Pass, OR 97527
smcgillivray@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Richard Lowe, Personal CRD #6134193

Professional Licenses (FINRA series 3, 65)

Located at: 8751 W. Broward Blvd., Ste 501, Plantation, FL 33324 (954) 703-3400

Educational Background:

- Date of Birth: 08/1979
- University of Massachusetts, B.A. in Journalism 1999-2004

Business Experience:

- 04/2013 to Present, Investment Advisor Representative, Kingsview Asset Management LLC.
- 03/2011 to Present, Associated Person, Kingsview, LLC.
- 06/2009 to 04/2011, Associated Person, Options Pro Corp.
- 10/2005 to 06/2009, Associated Person, Time Leverage Capital Corp.
- 09/1999 to 06/2004, Student, University of Massachusetts

Other Business Activities:

Mr. Lowe is an Associated Person for Kingsview, LLC and can affect futures transactions and may receive separate, yet customary commission compensation for affecting futures transactions. This may represent a potential conflict of interest because he may receive commissions derived from customers introduced by Kingsview Asset Management, LLC.

Supervision:

Noel Sinclair, Chief Compliance Officer supervises Richard Lowe. He reviews Mr. Lowe's work through frequent office interactions as well as remote interactions.

Noel Sinclair's contact information:

111 W. Jackson Blvd. Suite 1140

Chicago, IL 60604

312-870-6701

nsinclair@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Mark Harmon, CRD#237290

Professional Licenses (FINRA Series 65), Insurance Licensed.

Located at: 4721 N Rockwell Chicago, IL 60625; 312-589-7630

Educational Background:

- Date of Birth: 02/1951
- 1969-1971 Loyola New Orleans, LA
- 1972-1975 Bachelor of Commerce Degree DePaul University, Chicago, IL
- 1976-1980 Master of Business Administration, DePaul University, Chicago, IL

Business Experience:

- 06/2014- Present, Investment Advisor Rep, Kingsview Asset Management, LLC
- 12/2012 - 6/2014, Investment Advisor Rep, Everett Wealth Solutions, Inc.
- 05/2010 - 06/2010, Sallerson-Troob LLC
- 04/2004 - 12/2009, Trader Ronin Capital, LLC

Other Business Activities:

Mr. Harmon is licensed to sell insurance products and may receive separate, yet customary commission compensation for affecting insurance sales. This may represent a potential conflict of interest because he may receive commissions derived from customers introduced by KHAM.

Supervision:

Mark Harmon is supervised by Noel Sinclair. He reviews Mark Harmon's work through frequent office interactions as well as remote interactions.

Noel Sinclair's contact information:

111 W. Jackson Blvd. Suite 1140

Chicago, IL 60604

Phone: 312-870-6701

nsinclair@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Paul Nolte, Personal CRD #2122334

Professional Licenses (FINRA series 65)

Professional Designations: Chartered Financial Analyst.

Located at: 141 W. Jackson Blvd., Suite 3636, Chicago, IL 60604 (312) 237-3813

Educational Background:

- Date of Birth: 07/1962
- Illinois Wesleyan University 1980-1984 B.A. Business Administration/Computer Science
- DePaul University 1990-1993 – Masters in Finance

Professional Designation Information:

The Chartered Financial Analyst (CFA) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute- the largest global association of investment professionals.

There are currently more than 90,000 CFA charterholders working in 135 countries. To earn the CFA charter, candidates must: 1) pass three sequential, six-hour examinations; 2) have at least four years of qualified professional investment experience; 3) join CFA Institute as members; and 4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

High Ethical Standards

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

Global Recognition

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA charterholders- often making the charter a prerequisite for employment.

Additionally, regulatory bodies in 19 countries recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 125 colleges and universities

around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

Comprehensive and Current Knowledge

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

To learn more about the CFA charter, visit www.cfainstitute.org.

Business Experience:

- 2/2014 to Present, SVP/Portfolio Manager Kingsview Asset Management
- 11/2009 to 2/2014 Managing Director Dearborn Partners LLC
- 4/2002 to 11/2009 VP and Senior Portfolio Manager Hinsdale Associates
- 8/1999 to 4/2002 VP and Senior Portfolio Manager BankOne
- 2/1996 to 8/1999 VP and Portfolio Manager National City Bank
- 5/1986 to 8/1991 CLR Financial
- 8/1991 to 2/1996 Feldman Investment Group

Other Business Activities: None

Supervision:

Noel Sinclair, Chief Compliance Officer, supervises Paul Nolte. Mr. Nolte is located in the KHAM Chicago Branch Office so he is directly supervised by Mr. Sinclair.

Noel Sinclair's contact information:

111 W. Jackson Blvd 1140
Chicago, IL 60604
nsinclair@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Josh Saunders, Personal CRD 5583278

Professional Licenses: Series 65, Series 3, Series 30, Insurance Licensed

Located at: 4168 DOUGLAS BLVD STE 200, GRANITE BAY, CA 95746

Phone: 916-878-1045

Educational Background:

- DOB:06/1977
- Texas A&M Corpus Christi, MBA
- United States Merchant Marine Academy, BS Marine Transportation

Business Experience:

- October 2013 to Present, Financial Advisor, Verdeo Financial
- October 2009 to September 2013, Commodities Broker, Great Pacific Trading Co.
- June 2000 to May 2009 Officer/Pilot US Navy

Other Business Activities: None

Supervision:

Josh Saunders is supervised by Sean McGillivray. He reviews Josh's work through frequent office interactions as well as remote interactions.

Sean McGillivray's contact information:

1867 Williams Hwy, Suite 223

Grants Pass, OR 97527

smcgillivray@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Name: Patricia Kenney, Personal CRD 6367329

Professional Licenses Series 65, Series 3

Address: 19448 Laroda Lane Saugus, CA 91350 Phone# 661-993-5113

Educational Background:

- DOB: 09/1978
- AA College of the Canyons

Business Experience:

- Banking-over 5 years, Business owner since 2009

Other Business Activities:

- Junior League of Los Angeles, Held Supervisory positions at Wells Fargo, Washington Mutual, as well as Starbucks.

Supervision:

Patricia is supervised by Sean McGillivray. He reviews Patricia's work through frequent office interactions as well as remote interactions.

Sean McGillivray's contact information:

1867 Williams Hwy, Suite 223

Grants Pass, OR 97527

smcgillivray@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

**Bankruptcy Petition: Chapter 7; Filed 04/15/2009- Central District of California
San Fernando Valley Division- 1:09-BK-14728-MT**

Jeffrey Stouffer, Personal CRD #2175700
Professional Licenses (FINRA Series 65)
Certified Financial Planner, Chartered Alternative Investments Analyst.
Located at: 5934 Berkshire Court., Alexandria, VA 22303 (717) 350-4288

Educational Background:

- Date of birth: 11/1957
- 7/2005 – 4/2008 MBA Regis University – Denver Colorado Accounting Finance

Professional Designation Information:

The Certified Financial Planner™, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 62,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor’s Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board’s financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board’s *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the *Standards of Professional Conduct*. The *Standards* prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

To become a CAIA member, candidates are required to do the following:

- Pass both the CAIA Level I and Level II exams.
- Hold a bachelor's degree, or the equivalent, and have more than one year of professional experience, or alternatively have at least four years of professional experience. Professional experience is defined as full-time employment in a professional capacity within the regulatory, banking, financial, or related fields.
- Agree on an annual basis to abide by the Member Agreement.
- Provide two (2) professional references.
- Submit payment for the annual CAIA Association membership fee.

Business Experience:

- 10/2010 to Present, Investment Advisor Representative, Kingsview Asset Management, LLC
- 05/2012 to Present, Associated Person/Branch Manager, Kingsview, LLC
- 10/2008 to 05/2012, Principal, Mercantile Capital Group
- 03/2010 to 08/2010, Investment Advisor Representative/Registered Representative, BB&T Investment Services
- 10/2009 to 03/2010, Registered Representative, Ridgeway & Conger, INC.
- 12/2008 to 07/2009, Registered Representative, US Financial Investments, INC.
- 05/2008 to 10/2008, Investment Advisor Representative/Registered Representative, Provident Bank and UVEST Investment Services
- 05/2007 to 03/2008, Associated Person, Capital Advisors Investment Management, LLC
- 04/2006 to 12/2006, Registered Representative, O.N. Equity Sales Co.
- 05/2005 to 02/2006, Associated Person, Morgan Stanley Dean Witter

Other Business Activities:

Mr. Stouffer is an Associated Person/Branch Manager for Kingsview, LLC and can affect futures transactions and may receive separate, yet customary commission compensation for affecting futures transactions. This may represent a potential conflict of interest because he may receive commissions derived from customers introduced by Kingsview Asset Management, LLC.

Supervision:

Noel Sinclair, Chief Compliance Officer , supervises Jeffrey Stouffer. He reviews Mr. Stouffer's work through remote telephonic and electronic interactions.

Noel Sinclair's contact information:

111 W. Jackson Blvd. Suite 1140

Chicago, IL 60604

312-870-6701

nsinclair@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: Filed 8/27/2010 – US Bankruptcy Court Eastern District of Virginia – Case 10-17258-RGM

Gary A. Votto, Personal CRD #648864
Professional Licenses (FINRA series 65, 3, 30), Insurance License
Located at: 237 Roosevelt Blvd, Berlin, N.J. 08009 (267) 251-4738

Educational Background:

- Date of Birth: 12/1963
- 1983-1986 St. Joseph's University, Philadelphia. PA, BS Finance

Business Experience:

- 1/2014-Present, Branch Manager Kingsview LLC
- 3/2014-Present, Investment Advisor Representative Kingsview Asset Management.
- 9/2012-1/2014, Branch Manager Great Pacific Trading Company
- 4/2007-8/2012, Associated Person, GIB PFGBest Futures.
- 1/2001-4/2007, Branch Manager Angus Jackson Partners
- 1987 – 2000 Options Trader, Philadelphia Options Exchange

Other Business Activities:

Mr. Votto a branch manager for Kingsview, LLC and can affect futures transactions and may receive separate, yet customary commission compensation for affecting futures transactions. This may represent a potential conflict of interest because he may receive commissions derived from customers introduced by Kingsview Asset Management, LLC.

Mr. Votto is licensed to sell insurance products and may receive separate, yet customary commission compensation for affecting insurance sales. This may represent a potential conflict of interest because he may receive commissions derived from customers introduced by Kingsview Asset Management, LLC.

Supervision:

Gary Votto is supervised by Sean McGillivray. He reviews Gary Votto's work through remote interactions.

Sean McGillivray's contact information:

1867 Williams Hwy, Suite 223
Grants Pass, OR 97527
Phone: 541-244-2623
smcgillivray@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Derrick Boyd Smith , Personal CRD 2697190
CA BRE 01894769, Insurance Licensed CA 0B27139 Series 3
Located at:
Address: 283 Ursula DR. Sutter Creek, CA 95685,
Phone#925-212-2192

Educational Background:

DOB:09/1971

BS – University of San Francisco, 2001

Business Experience:

- Financial Services Professional 1993 - present

Other Business Activities:

Tax preparation	20 clients per year
Real Estate Sales	1-2 transactions per year
Insurance Sales	

Supervision:

Derrick is supervised by Sean McGillivray. He reviews Derrick's work through frequent office interactions as well as remote interactions.

Sean McGillivray's contact information:

1867 Williams Hwy, Suite 223
Grants Pass, OR 97527

smcgillivray@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Shahnaz Razvi, Personal CRD #5087297

Professional Licenses: 65, insurance license.

Located at: 2281 Lava Ridge Ct, Ste 120 Roseville, CA 95661

Phone: (916) 226-1535

Educational Background:

DOB:04/1957

1976 Osmania University, Bachelors of Art, English Literature, Psychology and Philosophy

Business Experience:

- Investment Advisor Representative, First American national Investment Advisors
Independent investment representative and insurance agent
Business analyst, Investment Representative.

Other Business Activities:

Provides insurance services as an independent licensed insurance agent.

Supervision:

Shahnaz is supervised by Sean McGillivray. He reviews Shahnaz's work through frequent office interactions as well as remote interactions.

Sean McGillivray's contact information:

1867 Williams Hwy, Suite 223

Grants Pass, OR 97527

smcgillivray@kingsviewam.com

Arbitration Claims: none

Self-Regulatory Organization or Administrative Proceeding: none

Bankruptcy Petition: none

Nick Rolland, Personal CRD # 6414198
Professional Licenses: Series 3, Series 65
Located at: 3451 N. Fairmount St. Suite C, Davenport, IA 52806
Phone: 563-445-7925

Educational Background:

DOB: 08/1964

Attended University of Wisconsin, 1983-1986

Business Experience:

- Sixteen years in retail sales, including 5 years in sales management and 5 years in store management, with American TV and Appliance of Madison, Inc. Five years introducing investments in managed futures with Silver Creek Commodities.

Other Business Activities: Assist with operation of lawn care and snow removal business.

Supervision:

Nick is supervised by Noel Sinclair. He reviews Nick's work through frequent office interactions as well as remote interactions.

Noel Sinclair's contact information:
111 W. Jackson Blvd. Suite 1140
nsinclair@kingsviewam.com
312-819-5910

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Adrian Scot Lauer, Personal CRD # 4204673

Professional Licenses: Series 7, Series 65, Indiana Resident Life and Health License

Located at: 6221-B Constitution Drive, Fort Wayne, IN 46804

Phone:

Office: (260) 494-1860

Cell: (260) 433-4203

Educational Background:

DOB:11/1971

2000 - Bachelor of Science in Business – Marketing, Indiana University, Fort Wayne, IN

Business Experience:

- 2007-Current: Financial Advisor/Registered Representative, Verdeo Financial,
- 2002-2007: Registered Representative, Danusis-Bodine & Associates
- 2001-2002: Financial Advisor, American Express Financial Advisors2000-2001: Financial Planning Analyst, American Express Financial Advisors

Other Business Activities:

- 2012-Current: Volleyball Coach, Pineapple Sport ONE Volleyball Club,
- 2006-Current: Board Member, University of Michigan Alumni Club of Fort Wayne, IN

Supervision:

Adrian is supervised by Noel Sinclair. He reviews Adrian's work through frequent office interactions as well as remote interactions.

Noel Sinclair's contact information:

111 W. Jackson Blvd. Suite 1140

nsinclair@kingsviewam.com

312-819-5910

Arbitration Claims: N/A

Self-Regulatory Organization or Administrative Proceeding: N/A

Bankruptcy Petition: N/A

John Heffernan, Personal CRD# 1485890
Professional Licenses Series 3,7 and 66
Located at: 3052 NW Merchant Way Suite 105B Bend, OR 97701
Phone : 224-201-2762

Educational Background:

- New Trier 1972
- DOB: 02/1954

Business Experience:

- 2015- Kingsview Asset Management Investment Advisor
- 2014- Self Employed Consultant
- 2013-2014- Morgan Stanley Consultant Trading
- 2009-2013 Self Employed consultant
- 1999-2009- Network Capital Advisors Inc Manager

Other Business Activities: None

Supervision:

John is supervised by Sean McGillivray. He reviews John's work through frequent office interactions as well as remote interactions.

Sean McGillivray's contact information:

1867 Williams Hwy, Suite 223

Grants Pass, OR 97527

smcgillivray@kingsviewam.com

Arbitration Claims: N/A

Self-Regulatory Organization or Administrative Proceeding: N/A

Bankruptcy Petition: N/A

Richard Little, Personal CRD# 5698720
Professional Licenses: Series 66
Located: 111 W Jackson Blvd Suite 1140
Chicago, IL 60604

Education

- DOB:12/1987
- University of Illinois
- Auburn University 2010

Business Experience:

- Edward Jones 9/2010-2015

Other Business:

- Mr. Little is licensed to sell insurance products and may receive separate, yet customary commission compensation for affecting insurance sales. This may represent a potential conflict of interest because he may receive commissions derived from customers introduced by KVAM.

Supervision:

Richard is supervised by Noel Sinclair. He reviews Richard's work through frequent office interactions as well as remote interactions.

Noel Sinclair's contact information:

111 W. Jackson Blvd. Suite 1140
nsinclair@kingsviewam.com
312-819-5910

Arbitration Claims: N/A

Self-Regulatory Organization or Administrative Proceeding: N/A

Bankruptcy Petition: N/A

Terry Morris, Personal CRD # 2460504

Professional Licenses: Series 3, 30, 63, 65

Located at:

8751 W. Broward Blvd., Ste. 501

Plantation, FL 33324

954-703-3400

Educational Background:

- Jackson State Community College
- University of Tennessee at Knoxville, Graduated 1992
- Bachelor's Degree in Economics

Business Experience:

- 2015 – Present: Kingsview Asset Management, LLC, Investment Advisor Representative
- 2011 – Present: Kingsview, LLC, Branch Manager and Associated Person
- 2009 – 2011: Options Pro Corp, Branch Manager and Associated Person
- 1997 – 2009: Time Leverage Capital, Associated Person

Other Business Activities:

Mr. Morris is a Branch Manager for Kingsview, LLC and can affect futures transactions and may receive separate, yet customary commission compensation for affecting futures transactions. This may represent a potential conflict of interest because he may receive commissions derived from customers introduced by KVAM.

Mr. Morris is an Associated Person with Kingsview, LLC and can affect futures transactions.

Supervision:

Mr. Morris is supervised by Al Abaroa located in the same office.

Al Abaroa

8751 W Broward Blvd., Ste. 501

Plantation, FL 33324

954-703-3400

Arbitration Claims: N/A

Self-Regulatory Organization or Administrative Proceeding: N/A

Bankruptcy Petition: N/A

Kathryn Callaghan, Personal CRD # 6518705

Professional Licenses: FINRA Series 3, 65

Located at: 8751 W Broward Blvd., Ste 501. Plantation, FL 33324

Phone: (954) 703-3400

Educational Background:

Florida State University, B.S. in Applied Economics, B.A. in International Affairs 2008-2012

Business Experience:

01/2013 to Present, Associated Person, Kingsview, LLC.

Other Business Activities:

Commodities Broker

Supervision:

Al Abaroa

8751 W Broward BLVD, Ste 501

Plantation, FL 33324

(954)703-3400

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

German M. Ramirez, CFP® Personal CRD# 5005488

Professional Licenses: FINRA Series 66, Florida Life, Health, & Variable Annuity (2-15), Certified Financial Planner Professional™

Located at: 9300 S. Dadeland, Suite 600, Miami, FL 33156

Phone: 305-809-7642

Educational Background:

- 2001 – Associate of Arts, Business, Miami Dade College, Miami, FL
- 2004 – Bachelors of Business Administration, Finance, Florida International., Miami, FL
- 2013 – Certified Financial Planner Education Requirement, University of Miami, Miami, FL

Business Experience:

- 2015 – Present: Senior Vice President - Private Client Services - Kingsview Asset Management, Miami, FL
- 2012-2015: Vice President, Financial Consultant – Charles Schwab & Co., Miami, FL
- 2007-2012: COO, Portfolio Manager, Financial Advisor – Trusted Alliance LLC (National Planning Corp. and Investacorp as Broker Dealer and Registered Investment Advisor)
- 2009-2012 – Owner, Insurance and Professional Consulting, Ram Financial Solutions LLC, Miami, FL
- 2006-2007 – Financial Advisor – Mass Mutual Financial Group, Miami, FL
- 2005-2006 – Marketing Associate – AXA Advisors, Miami, FL
- 2003-2005 – Financial Service Representative, SunTrust Bank, Miami, FL

Professional Designation Information:

The Certified Financial Planner™, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical

requirements that govern professional engagements with clients. Currently, more than 62,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board's *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the *Standards of Professional Conduct*. The *Standards* prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

Other Business Activities:

Insurance

Disciplinary Actions:

None

Supervision:

German Ramirez is supervised by Noel Sinclair. He reviews German's work through frequent office interactions.

Noel Sinclair's contact information:

111 W. Jackson Blvd. Suite 1140

Chicago, IL 60604

nsinclair@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Mitch Fee, Personal CRD 5950554
Professional Licenses (Finra Series 65), Series 3
Located at: 580 Broadway, Suite 301, Laguna Beach, Ca 92651
Phone: (949) 812-4010

Educational Background:

Date of Birth: 12/1979
Riverside Community College- Riverside Ca, 1998-2000

Business Experience:

November 2014 to present: Senior Portfolio Strategist Kingsview, LLC
March 2004 to November 2014: Senior Alternative Investment Specialist for InvestCore Partners.
January 2001 to March 2004 Sales Manager, Commodities Specialist for Randall Worldwide Investments.

Other Business Activities:

Mr. Fee is an Associated Person for Kingsview, LLC and can affect futures transactions.

Supervision:

Mitch Fee is supervised by Noel Sinclair. He reviews Mitch's work through quarterly office visits as well as remote interactions.

Noel Sinclair's contact information:
111 W. Jackson Blvd. Suite 1140
nsinclair@kingsviewam.com
312-870-6701

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: 04/09/2012 - Violation of National Futures Association Rule C.R.2-4 – General Conduct. NFA Case Number NFA 12BCC00008

Bankruptcy Petition: None

Scott Altenburg, Personal CRD 2357667
Professional Licenses 3, 30, 65, CA Insurance # 0H81795, CTA
Located at: 580 Broadway, Suite 301, Laguna Beach, Ca 92651
Phone: 949-812-4040

Educational Background:

UW-Madison BS in Economics 1992

Business Experience:

Started first business in college to pay for school, Hot Enterprises
-Mobile restaurant, expanded to multiple locations

1999-2004 Opportunities in Options: Broker, branch manager
2001-2002 Tempest Asset Management: Owner (Forex fund)
2003-2012 OpVest Wealth management: Owner
2003-2012 OpVest Insurance: Owner
2006-2012 Avalon Asset Management, LLC: Owner
2006-2012 Avalon Capital Advisors, LLC: Owner
2012-2014 InvestCore Partners: Owner, CEO
2014- Present Kingsview: SVP

Other Business Activities:

Branch Manager Kingsview, LLC (Futures Broker)
Insurance license

Supervision:

Noel Sinclair supervises Scott Altenburg. He reviews Scott's work through quarterly office visits as well as remote interactions.

Noel Sinclair's contact information:

111 W. Jackson Blvd. Suite 1140
Chicago, IL 60604
312-870-6701
nsinclair@kingsviewam.com

Arbitration Claims: 09/07/2007 – National Futures Association Docket Number 06-ARB-161 and 07-ARB-11. Settled for \$38,727.00.

Self-Regulatory Organization or Administrative Proceeding: 04/09/2012 - Violation of National Futures Association Rule C.R.2-4 – General Conduct. NFA Case Number NFA 12BCC00008

Bankruptcy Petition: No

Jody Redmann, Personal CRD#5460426

Professional Licenses: AAMS®, Series 65 and IL Insurance #15763934

Located at: 111 W. Jackson Blvd. Suite 1140, Chicago, IL 60604

Phone: (312) 920-7378

Educational Background:

- North Dakota State University Bachelor Degree
- Institute for American Universities/Université d'Avignon (One-year study abroad program as part of curriculum for Bachelor Degree at North Dakota State University)
- University of California Santa Cruz Extension Certification Project and Program Management

Business Experience:

- Edward Jones April 2010-October 2015 Financial Advisor
- Morgan Stanley Smith Barney November 2007-March 2010 Registered Client Service Associate
- Edward Jones January 2007-October 2007 On Call Branch Office Administrator
- Edward Jones January 2003-December 2006 Branch Office Administrator

Other Business Activities:

- HOBY Illinois Corporate Board-Board Member
- Life and Health Insurance
- Annuities

Disciplinary Actions:

None

Supervision:

Jody Redmann is supervised by Noel Sinclair. He reviews Jody's work through frequent office interactions.

Noel Sinclair's contact information:

111 W. Jackson Blvd. Suite 1140

Chicago, IL 60604

nsinclair@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Ricky Aaron Perlman, Personal CRD#5754257

Professional Licenses: Series 65 and NJ Insurance #1311169

Located at: 63 Southern Slope Dr., Millburn, NJ 07041

Phone: (973) 975-4715

Educational Background:

- NYU B.S. 2007-2011

Business Experience:

- Edward Jones: Financial advisor (July 2011-November 2015)
- Brewer Capital: Associate (May 2010-February 2011)
- Wells Fargo: Financial Advisor's Assistant (January 2010-May 2010)
- IMG: Business Development & Consulting Intern (Sep 2009-Dec 2009)
- Zog Sports: Operations Intern (Jan 2009-Sep 2009)
- The Heisman Trophy Trust: Operations Intern (Feb 2008-Jan 2009)

Other Business Activities:

- On Exec Board of Dir. of Millburn/Short Hills Chamber of Commerce (Secretary)
- On Board for Jake's Ride (local charity)
- Life and Health Insurance
- Annuities

Disciplinary Actions:

None

Supervision:

Ricky Perlman is supervised by Noel Sinclair. He reviews Ricky's work through frequent office interactions.

Noel Sinclair's contact information:

111 W. Jackson Blvd. Suite 1140

Chicago, IL 60604

nsinclair@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Joshua Barros, Personal CRD# 4750747

Professional Licenses: Life and health, Series 3, Series 65

Located at: 8775 Aero Dr. Suite 302 San Diego, CA 92123

Phone: 858-560-2646

Educational Background:

- Coventry High School 1998

Business Experience:

- Morgan Stanley 6/1/2005- 10/1/2005
- Heritage West Financial 10/1/2005-10/1/2006

Other Business Activities:

- Life Insurance

Disciplinary Actions:

None

Supervision:

Joshua Barros is supervised by Noel Sinclair. He reviews Joshua's work through frequent office interactions.

Noel Sinclair's contact information:

111 W. Jackson Blvd. Suite 1140

Chicago, IL 60604

nsinclair@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Ralph D Preston III, Personal CRD# 6604874

Professional Licenses: [Insert Insurance License]

Located at: 8775 Aero Dr Suite 302 San Diego, CA. 92123

Phone: 619-852-6252

Educational Background:

- Mar Vista High School 1995

Business Experience:

- Associated Person of Heritage West Financial, Inc. December 2003
- Principal of Heritage West Financial, Inc. August 2006

Other Business Activities:

- None

Disciplinary Actions:

None

Supervision:

Ralph D. Preston III is supervised by Noel Sinclair. He reviews Ralph's work through frequent office interactions.

Noel Sinclair's contact information:

111 W. Jackson Blvd. Suite 1140

Chicago, IL 60604

nsinclair@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Pasqual Pisani, Personal CRD# 2765744

Professional Licenses: Series 66 Uniform Combined State Law, NJ Life and Health Insurance, Long-Term Care Certification, Certified Anti-Money Laundering Specialist (CAMS)

Located at: 187 Washington Ave, Suite 2C Nutley NJ 07110

Phone: 201-988-8540 (cell)

Educational Background:

- DOB 12/28/1972
- BA in Economics, Rutgers University 1995

Business Experience:

- April 2010- December 2015 EDWARD JONES & CO., Clifton, New Jersey
- December 2008-July 2009 ECHOTRADE, New York, New York
- February 2008 – September 2008 ERNST & YOUNG, New York, New York
- 2005-2008 MORGAN STANLEY & CO. INC., New York, New York
- 1997-2005 MERRILL LYNCH & CO., New York, New York

Other Business Activities:

Mr. Pisani is a chairperson for the Ribbon Cutting Committee on the Nutley Chamber of Commerce. He is a Board Member of Nutley UNICO-Member at Large. Mr. Pisani periodically advises on real estate matters as he is a former real estate agent (part-time).

Supervision:

Pasquale Pisani is supervised by Noel Sinclair. He reviews Pasquale's work through frequent office interactions.

Noel Sinclair's contact information:

111 W. Jackson Blvd. Suite 1140

Chicago, IL 60604

nsinclair@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

William Wong, Personal CRD# 4076464

Professional Licenses:

- Life & Health License# 0C82998,
- Securities Series 6,7,63,31 (inactive) & 65
- Real Estate Sales Salesperson – CA
- NMLS (in process)

Located at: 4168 Douglas Blvd, Suite 200, Granite Bay, CA 95746

Phone: 916-251-9088

Educational Background:

- None

Business Experience:

- Owner/Financial & Real Estate Professional with Wong Financial (12/2001-present)
- Independent Associate with Isagenix (2/2010-present) (OBA)
- Investment Advisor Representative with Transamerica Financial Advisors, Inc. Transamerica Financial Group Division (B/D & RIA) (02/2012 – 11/2015)
- Associate with World Financial Group (1996-11/2015)
- Realtor with Alain Pinel Realtors (12/2011-12/2014)
- Insurance Advisor with Asurea Group (09/2010-09/2011)
- Financial Advisor with Foresters Equity Services, Inc (8/2008-6/2010)
- Registered Representative with World Group Securities (01/2006-08/2006)
- Realtor and Loan officer with Bayview Residential Brokerage (06/2005-01/2011)

Other Business Activities:

- Isagenix (health & wellness) – independent associate
- Real Estate – Real Estate Agent (currently no broker) Graduate Realtor Institute (GRI) designation
- Mortgage – Loan Officer (in process)

Disciplinary Actions:

None

Supervision:

William Wong is supervised by Noel Sinclair. He reviews William's work through frequent office interactions.

Noel Sinclair's contact information:

111 W. Jackson Blvd. Suite 1140

Chicago, IL 60604

nsinclair@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: Filed Chapter 7 Bankruptcy in April 2009 and was discharged in July 2009. Also have tax liens with both IRS and Franchise Tax Board both currently on installment agreements.

Jon T VanSlooten, Personal CRD# 2011865

Professional Licenses: Series 7, Series 66, Life & Health

Located at: 2340 Orchard Rd Toledo, OH 43606

Phone: 419-467-8484

Educational Background:

- Bachelors of Business Administration, Western Michigan University, 1987

Business Experience:

- Family Video Movie Club, Inc.; Regional Director, 1998-2008
- Edward Jones Investments; Financial Advisor, 2008-2016
- Kingsview Asset Management; Financial Advisor, 2016-present

Other Business Activities:

- N/A

Disciplinary Actions:

None

Supervision:

Jon VanSlooten is supervised by Noel Sinclair. He reviews Jon's work through frequent office interactions.

Noel Sinclair's contact information:

111 W. Jackson Blvd. Suite 1140

Chicago, IL 60604

nsinclair@kingsviewam.com

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Jason Weiss**Personal CRD# 6592650****Professional Licenses:** CA Insurance License #0K67962**Located at:** 4240 Great Oak Circle, Granite Bay, CA 95746**Phone:** (916) 783-7900**Educational Background:**

- McGeorge School of Law, Juris Doctor (2000)
- University of Oklahoma, Bachelor of Arts, Business Marketing & Sales (1996)

Business Experience:

- Best Best Krieger LLP, Attorney
- Virage, Inc. (now Autonomy, Inc., owned by HP), Attorney
- United States Department of Justice, Office of United States Attorney, Civil Litigation Department (2000-2001)

Other Business Activities:

- None

Disciplinary Actions:

- None

Supervision:

Jason Weiss is supervised by Noel Sinclair.
He reviews Jason's work through frequent office interactions.

Noel Sinclair's contact information:

111 W. Jackson Blvd. Suite 1140

Chicago, IL 60604

nsinclair@kingsviewam.com

Arbitration Claims: None**Self-Regulatory Organization or Administrative Proceeding:** None**Bankruptcy Petition:** None