

**Part 2B of Form ADV**

*(Brochure Supplement)*

**Item 1 Cover Page**

**Aaron Wagner  
(916) 652-1525**

**RWWM, INC.  
DBA  
ROSEMAN WAGNER WEALTH MANAGEMENT**

Dated: January 2013

Business Address: 3260 Penryn Road, Suite 100  
Loomis, CA 95650

Phone Number: (888) 552-1524

Contact Information: Aaron Wagner  
Chief Compliance Officer

Business Website: [www.rosemanwagner.com](http://www.rosemanwagner.com)

This brochure supplement provides information about Aaron Wagner that supplements our brochure. You should have received a copy of that brochure. Please contact Aaron Wagner if you did not receive Roseman Wagner Wealth Management's brochure or if you have any questions about the contents of this supplement.

Additional information about Aaron Wagner is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 2 Educational Background and Business Experience**

**Aaron Wagner**

**YOB:** 1978

### **Full Education Background:**

California State University, Sacramento – 2000 BS Business Administration

### **Business Background for the last 5 years:**

President - Chief Compliance Officer, RWWM, Inc. – Loomis, CA – September, 2008 to Present

Registered Representative, Silver Oak Securities, Loomis, CA – September, 2008 to Present

Second Vice President – Wealth Management, Citi Smith Barney – Folsom, CA – October, 2002 to September, 2008

## **Item 3 Disciplinary Information**

**A. If there is legal or disciplinary events material to your evaluation of Mr. Wagner, we are required to disclose all material facts regarding those events.<sup>1</sup>**

We have nothing to disclose in this regard.

## **Item 4 Other Business Activities**

**A. If Mr. Wagner is actively engaged in any investment-related business or occupation, including if Mr. Wagner is registered, or has an application pending to register, as a broker-dealer, registered representative of a broker-dealer, futures commission merchant (“FCM”), commodity pool operator (“CPO”), commodity trading advisor (“CTA”), or an associated person of an FCM, CPO, or CTA, we are required to disclose this fact and describe the business relationship, if any, between the advisory business and the other business.**

- 1. If a relationship between the advisory business and Mr. Wagner’s other financial industry activities creates a material conflict of interest with you, the SEC requires us to describe the nature of the conflict and generally how we address it.**

We have nothing to disclose in this regard.

- 2. If Mr. Wagner receives commissions, bonuses or other compensation based on the sale of securities or other investment products, including as a broker-dealer or registered representative, and including distribution or service (“trail”) fees from the sale of mutual funds, we have to disclose this fact. If this compensation is not cash, we are required to explain what type of compensation Mr. Wagner receives. We must explain that this practice gives Mr. Wagner an incentive to recommend investment products based on the compensation received, rather than on your needs.**

Aaron Wagner is also a registered representative of Silver Oak Securities, Inc., member FINRA/SIPC. As a registered representative, he may offer securities products and brokerage services to our firm’s clients on

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<sup>1</sup> Note: Our firm may, under certain circumstances, rebut the presumption that a disciplinary event is material. If an event is immaterial, we are not required to disclose it. When we review a legal or disciplinary event involving Mr. Wagner to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of Mr. Wagner to the advisory function; (2) the nature of the infraction that led to the disciplinary event; (3) the severity of the disciplinary sanction; and (4) the time elapsed since the date of the disciplinary event. If we conclude that the materiality presumption has been overcome, we prepare and maintain a file memorandum of our determination in our records. We follow SEC rule 204-2(a)(14)(iii) and similar state rules.

behalf of Silver Oak Securities, Inc. Pursuant to FINRA rules and regulations, Silver Oak Securities, Inc. maintains a supervisory relationship with respect to its registered representative employed by our firm for their activities related to the offers and sales of, and continuing services for the securities products and brokerage services on behalf of Silver Oak Securities, Inc. In no event does Silver Oak Securities, Inc. supervise the activities of our firm or our representatives when they are providing the advisory services of our firm.

Aaron Wagner is a licensed insurance agent with various insurance companies, and in such capacity, may recommend, on a fully disclosed commission basis, the purchase of certain insurance products. While our firm does not sell such insurance products to our investment advisory clients, Aaron's capacity as a licensed insurance agent permits him to sell insurance products to our investment advisory clients. A conflict of interest exists to the extent that our firm recommends the purchase of insurance products where Aaron receives insurance commissions or other additional compensation.

- B. If Mr. Wagner is actively engaged in any business or occupation for compensation not discussed in response to Item 4.A, above, and the other business activity or activities provide a substantial source of Mr. Wagner's income or involve a substantial amount of Mr. Wagner's time, we are required to disclose this fact and must describe the nature of that business. If the other business activities represent less than 10 percent of Mr. Wagner's time and income, we may presume that they are not substantial.**

We have nothing to disclose in this regard.

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

- A. If someone who is not a client provides an economic benefit to Mr. Wagner for providing advisory services, we are required to generally describe the arrangement. For purposes of this Item, economic benefits include sales awards and other prizes, but do not include Mr. Wagner's regular salary. Any bonus that is based, at least in part, on the number or amount of sales, client referrals, or new accounts should be considered an economic benefit, but other regular bonuses should not.**

We have nothing to disclose in this regard.

#### **Item 6            Supervision**

- A. We are required to explain how we supervise Mr. Wagner, including how we monitor the advice Mr. Wagner provides to you. Our firm has to provide the name, title and telephone number of the person responsible for supervising Mr. Wagner's advisory activities on behalf of our firm.**

Mr. Wagner is the Chief Compliance Officer and as such has no internal supervision placed over him. He is however bound by our firm's Code of Ethics.