

**NOTICE:**

**These brochure supplements provide information about the Investment Adviser Representatives (IARs) of ALPHA ARCHITECT, LLC (“ALPHA ARCHITECT”) and affiliates. This information supplements the ALPHA ARCHITECT brochure. You should have received a copy of that brochure. Please contact compliance at 215-882-9983, if you did not receive the brochure of ALPHA ARCHITECT. You can also contact Patrick Cleary if you have any questions about the content of attached supplements. Additional information about the IARs delineated within these supplements is available on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You can search this website by using the IAR’s CRD number as listed herein.**

**Brochure Supplement**  
(Part 2B of Form ADV)

**Investment Adviser Representatives  
of  
ALPHA ARCHITECT**

**213 Foxcroft Road  
Broomall, PA 19008**

**Telephone: 215-882-9983  
Email: [compliance@alphaarchitect.com](mailto:compliance@alphaarchitect.com)**

March 22, 2017

**A. GENERAL REQUIREMENTS**

Generally, ALPHA ARCHITECT and affiliates require employees to have relevant work experience in the securities industry. Any employee of ALPHA ARCHITECT acting in an Investment Adviser Representative (IAR) capacity will be appropriately licensed or registered as such.

**B. INVESTMENT ADVISER REPRESENTATIVE INFORMATION**

We currently have nine (9) investment adviser representatives employed by ALPHA ARCHITECT.

**NOTICE:**

**This brochure supplement provides information about RICHARD KYLE BAXTER III that supplements the ALPHA ARCHITECT brochure. You should have received a copy of that brochure. Please contact Compliance at 215-882-9983, if you did not receive the brochure of ALPHA ARCHITECT. You can also contact Dr. Wes Gray if you have any questions about the content of attached supplement. Additional information about the IAR delineated within this supplement is available on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You can search this website by using the IAR's CRD number as listed herein.**

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**RICHARD KYLE BAXTER III**

**INVESTMENT ADVISER REPRESENTATIVE**

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March 22, 2017

## **ITEM 2 EDUCATIONAL AND BUSINESS EXPERIENCE**

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**Richard Kyle Baxter III**

CRD No. 6742546

Year of Birth: 1990

**Education Background:**

MS, Finance, Baruch College, New York, NY  
(08/2015– 12/2016)

BS, Chemistry, University of Maryland, College Park, MD  
(01/2010– 05/2012)

BS, Chemistry, Wake Forest University, Winston-Salem, NC  
(09/2008– 12/2009)

**Business Experience:**

***Assistant Director of Operations***

Baxter Family Enterprises LLC, West Chester, PA (5/2013– 9/2015)

***President***

Bright Boys Entertainment LLC, West Chester, PA (05/2012– 4/2013)

## **ITEM 3 DISCIPLINARY INFORMATION**

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None. Mr. Baxter, Investment Adviser Representative, does not have any legal or disciplinary events material to a client's or prospective client's evaluation.

## **ITEM 4 OTHER BUSINESS ACTIVITIES**

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None.

## **ITEM 5 ADDITIONAL COMPENSATION**

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None. Mr. Baxter, Investment Advisor Representative, does not receive any economic benefit from any third party for providing advisory services.

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## **ITEM 6    SUPERVISION**

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IARs are supervised by Dr. Wesley Gray and Patrick Cleary. Dr. Gray and Mr. Cleary may be contacted by calling (215) 882-9983 or by emailing [compliance@alphaarchitect.com](mailto:compliance@alphaarchitect.com).

**NOTICE:**

**This brochure supplement provides information about PATRICK CLEARY that supplements the ALPHA ARCHITECT brochure. You should have received a copy of that brochure. Please contact Compliance at 215-882-9983, if you did not receive the brochure of ALPHA ARCHITECT. You can also contact Dr. Wes Gray if you have any questions about the content of attached supplement. Additional information about the IAR delineated within this supplement is available on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You can search this website by using the IAR's CRD number as listed herein.**

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**PATRICK CLEARY**

**INVESTMENT ADVISER REPRESENTATIVE**

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March 22, 2017

## **ITEM 2 EDUCATIONAL AND BUSINESS EXPERIENCE**

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**Patrick Cleary, Managing Member**

CRD No. 6394372

Year of Birth: 1982

**Education Background:**

MBA, Harvard Business School, Cambridge, MA

(9/08 – 5/10)

BS, Economics, The Wharton School at the University of Pennsylvania, Philadelphia, PA

(9/00 – 5/04)

**Business Experience:**

***Managing Member***

ALPHA ARCHITECT, Broomall, PA

(9/2014– Present)

***Director, Strategy and Corporate Development***

Algeco Scotsman, Baltimore, MD

(2/2014 – 9/2014)

***Project Leader, Consultant***

Boston Consulting Group, Philadelphia, PA

(8/2010 – 2/2014)

***Combat Engineer Officer***

United States Marine Corps

(10/2004– 8/2008)

## **ITEM 3 DISCIPLINARY INFORMATION**

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None. Mr. Cleary, Investment Adviser Representative, does not have any legal or disciplinary events material to a client's or prospective client's evaluation.

## **ITEM 4 OTHER BUSINESS ACTIVITIES**

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Mr. Cleary owns seven rental properties that represent personal investments.

## **ITEM 5 ADDITIONAL COMPENSATION**

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None. Mr. Cleary, Investment Advisor Representative, does not receive any economic benefit from any third party for providing advisory services.

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## **ITEM 6 SUPERVISION**

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Mr. Cleary is the Chief Compliance Officer and is therefore responsible for the oversight of your IAR's activity. Mr. Cleary reviews client trades and the adviser's trades on a regular basis through our project/task management software system. Additionally, Mr. Cleary ensures that IARs, sales assistants and other branch office staff adhere to applicable laws, regulations and firm policies regarding the discharge of their duties. Suspected violations are referred to the proper channels within the firm for further investigation and, if necessary, disciplinary action. IARs are supervised by Dr. Wesley Gray and Patrick Cleary. Dr. Gray and Mr. Cleary may be contacted by calling (215) 882-9983 or by emailing [compliance@alphaarchitect.com](mailto:compliance@alphaarchitect.com).



**NOTICE:**

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**LAWRENCE DUNN**

**INVESTMENT ADVISER REPRESENTATIVE**

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March 22, 2017

## ITEM 2 EDUCATIONAL AND BUSINESS EXPERIENCE

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**Lawrence Dunn**

CRD No. 6688443

Year of Birth: 1980

**Education Background:**

Ph.D. Physics, University of Texas, Austin, TX  
(12/2004– 12/2008)

MA, Physics, University of Texas, Austin, TX  
(09/2002– 12/2004)

BA, Physics (cum laude), Hendrix College, Conway, AR  
(09/1998 – 06/2002)

**Business Experience:**

***Investment Advisor Representative***

ALPHA ARCHITECT, Broomall, PA

(8/2016– Present)

***Industrial Liaison Officer***

University of Texas, Austin, TX

(6/2013 – Present)

***Director of Marketing***

Atonometrics, Inc., Austin, TX

(10/2011– 5/2013)

***Technical Product Manager***

Atonometrics, Inc., Austin, TX

(1/2011– 9/2011)

***Senior Solar Scientist***

Atonometrics, Inc., Austin, TX

(1/2008– 12/2010)

***Graduate Research Assistant***

University of Texas, Austin, TX

(9/2007– 12/2007)

***Research Engineer***

Institute for Materials Research and Engineering

(9/2005– 8/2007)

## ITEM 3 DISCIPLINARY INFORMATION

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None. Mr. Dunn, Investment Adviser Representative, does not have any legal or disciplinary events material to a client's or prospective client's evaluation.

## **ITEM 4    OTHER BUSINESS ACTIVITIES**

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Dr. Dunn remains employed by the University of Texas at Austin where he supports industrial partnerships and other strategic efforts at the NASCENT Nanosystems Engineering Research Center.

## **ITEM 5    ADDITIONAL COMPENSATION**

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None. Mr. Dunn, Investment Advisor Representative, does not receive any economic benefit from any third party for providing advisory services.

## **ITEM 6    SUPERVISION**

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IARs are supervised by Dr. Wesley Gray and Patrick Cleary. Dr. Gray and Mr. Cleary may be contacted by calling (215) 882-9983 or by emailing [compliance@alphaarchitect.com](mailto:compliance@alphaarchitect.com).

**NOTICE:**

**This brochure supplement provides information about WESLEY GRAY that supplements the ALPHA ARCHITECT brochure. You should have received a copy of that brochure. Please contact Compliance at 215-882-9983, if you did not receive the brochure of ALPHA ARCHITECT. You can also contact Patrick Cleary if you have any questions about the content of attached supplement. Additional information about the IAR delineated within this supplement is available on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) . You can search this website by using the IAR's CRD number as listed herein.**

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**WESLEY ROBERT GRAY**

**INVESTMENT ADVISER REPRESENTATIVE**

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March 22, 2017

## **ITEM 2 EDUCATIONAL AND BUSINESS EXPERIENCE**

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### **Wesley R. Gray, Executive Managing Member**

CRD No. 4233964

Year of Birth: 1980

#### Education Background:

PhD, Finance, University of Chicago, Chicago, IL  
(9/02 – 6/04, 1/08 – 6/10)

MBA, Finance, University of Chicago, Chicago, IL  
(9/02 – 6/04, 1/08 – 6/10)

BS, Economics, the Wharton School at the University of Pennsylvania,  
Philadelphia, PA  
(4/00 – 6/02)

#### Business Experience:

##### ***Executive Managing Member***

ALPHA ARCHITECT, Broomall, PA

(1/08 – Present)

##### ***Assistant Professor of Finance***

DREXEL UNIVERSITY, Philadelphia, PA

(9/10 – 8/14)

##### ***Executive Managing Member (Real Estate Holding Company)***

EMPIRICAL FINANCE, LLC, Collingswood, NJ

(1/08 – 12/14)

##### ***Ground Intelligence Officer***

United States Marine Corps, Marine Corps Office, 0203

(6/04 – 2/08)

## **ITEM 3 DISCIPLINARY INFORMATION**

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None. Dr. Wes Gray does not have any legal or disciplinary events material to a client's or prospective client's evaluation.

## **ITEM 4 OTHER BUSINESS ACTIVITIES**

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Dr. Gray is a part-time adjunct professor of finance at Drexel University

## **ITEM 5 ADDITIONAL COMPENSATION**

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None. Dr. Wes Gray does not receive any economic benefit from any third party for providing investment advisory services.

## **ITEM 6 SUPERVISION**

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Dr. Wes Gray is an Investment Adviser Representative of ALPHA ARCHITECT. Dr. Wes Gray is also responsible for supervising personnel and for the administration of the firm's operations. As the Firm Supervisor, Dr. Wes Gray is responsible for the complete oversight of your IAR's activity. As Firm Supervisor, he reviews client trades and the adviser's trades on a regular basis through our project/task management software system. Additionally, Dr. Wes Gray ensures that IARs, sales assistants and other branch office staff adhere to applicable laws, regulations and firm policies regarding the discharge of their duties. Suspected violations are referred to the proper channels within the firm for further investigation and, if necessary, disciplinary action.

**NOTICE:**

This brochure supplement provides information about DOUGLAS PUGLIESE that supplements the ALPHA ARCHITECT brochure. You should have received a copy of that brochure. Please contact Compliance at 215-882-9983, if you did not receive the brochure of ALPHA ARCHITECT. You can also contact Dr. Wes Gray if you have any questions about the content of attached supplement. Additional information about the IAR delineated within this supplement is available on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You can search this website by using the IAR's CRD number as listed herein.

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**S. DOUGLAS PUGLIESE**

**INVESTMENT ADVISER REPRESENTATIVE**

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March 22, 2017

## **ITEM 2 EDUCATIONAL AND BUSINESS EXPERIENCE**

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**S. Douglas Pugliese**

CRD No. 2777267

Year of Birth: 1965

**Education Background:**

MBA, Finance, Leonard N. Stern School of Business, New York University, New York, NY

(09/1994 – 05/1996)

BA, Economics and Spanish Literature, University of Pennsylvania, Philadelphia, PA

(09/1983 – 05/1988)

**Business Experience:**

***Investment Advisory Representative***

Alpha Architect, Broomall, PA

(11/2016 – Present)

***Director, Private Wealth Management***

SEI Investments Management Corp., Oaks, PA

(7/2012 – 10/2016)

***Executive Managing Director and Principal***

Marshall and Stevens Inc., Philadelphia, PA

(6/2008 – 6/2012)

***Managing Director, Investment Banking***

Bear, Sterns & Co., Inc., New York, NY

(7/1996 – 12/2007)

## **ITEM 3 DISCIPLINARY INFORMATION**

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None. Mr. Pugliese, Investment Adviser Representative, does not have any legal or disciplinary events material to a client's or prospective client's evaluation.

## **ITEM 4 OTHER BUSINESS ACTIVITIES**

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Mr Pugliese owns Breathe-Eze Holdings, LLC, a holding company for the purpose of owning intellectual property/patents for non-investment related Products.

## **ITEM 5 ADDITIONAL COMPENSATION**

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None. Mr. Pugliese, Investment Advisor Representative, does not receive any economic benefit from any third party for providing advisory services.



## **ITEM 6 SUPERVISION**

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IARs are supervised by Dr. Wesley Gray and Patrick Cleary. Dr. Gray and Mr. Cleary may be contacted by calling (215) 882-9983 or by emailing [compliance@alphaarchitect.com](mailto:compliance@alphaarchitect.com).

**NOTICE:**

**This brochure supplement provides information about ADAM TKACZUK that supplements the ALPHA ARCHITECT brochure. You should have received a copy of that brochure. Please contact Compliance at 215-882-9983, if you did not receive the brochure of ALPHA ARCHITECT. You can also contact Dr. Wes Gray if you have any questions about the content of attached supplement. Additional information about the IAR delineated within this supplement is available on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You can search this website by using the IAR's CRD number as listed herein.**

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**ADAM TKACZUK**

**INVESTMENT ADVISER REPRESENTATIVE**

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March 22, 2017

## **ITEM 2 EDUCATIONAL AND BUSINESS EXPERIENCE**

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**Adam Tkaczuk**

CRD No. 6699135

Year of Birth: 1976

### **Education Background:**

MBA, Rensselaer Polytechnic Institute, Troy, NY

(09/2003 – 05/2005)

BS, Physics, University of Massachusetts, Amherst, MA

(09/1994 – 05/1999)

### **Business Experience:**

#### ***Investment Advisory Representative***

ALPHA ARCHITECT, Broomall, PA

(9/2016 – Present)

#### ***Vice President and Northeast Practice Leader***

Duff and Phelps, New York, NY

(5/2011 – 8/2016)

#### ***Director of Industry Development***

Empire State Development, New York and Albany, NY

(3/2006 – 4/2011)

## **ITEM 3 DISCIPLINARY INFORMATION**

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None. Mr. Tkaczuk, Investment Adviser Representative, does not have any legal or disciplinary events material to a client's or prospective client's evaluation.

## **ITEM 4 OTHER BUSINESS ACTIVITIES**

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Mr. Tkaczuk provides tax consulting and mergers and acquisition advisory services for lower middle market enterprises.

## **ITEM 5 ADDITIONAL COMPENSATION**

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None. Mr. Tkaczuk, Investment Advisor Representative, does not receive any economic benefit from any third party for providing advisory services.

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## **ITEM 6    SUPERVISION**

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IARs are supervised by Dr. Wesley Gray and Patrick Cleary. Dr. Gray and Mr. Cleary may be contacted by calling (215) 882-9983 or by emailing [compliance@alphaarchitect.com](mailto:compliance@alphaarchitect.com).

**NOTICE:**

**This brochure supplement provides information about JACK VOGEL that supplements the ALPHA ARCHITECT brochure. You should have received a copy of that brochure. Please contact Compliance at 215-882-9983, if you did not receive the brochure of ALPHA ARCHITECT. You can also contact Patrick Cleary if you have any questions about the content of attached supplement. Additional information about the IAR delineated within this supplement is available on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) . You can search this website by using the IAR's CRD number as listed herein.**

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**JOHN (JACK) ROBERT VOGEL**

**INVESTMENT ADVISER REPRESENTATIVE**

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March 22, 2017

## **ITEM 2 EDUCATIONAL AND BUSINESS EXPERIENCE**

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**John (Jack) Robert Vogel, Managing Member**

CRD No. 5572973

Year of Birth: 1983

**Education Background:**

PhD, Finance, Drexel University, Philadelphia, PA

(6/09 – 3/14)

MS, Mathematics, Drexel University, Philadelphia, PA

(5/06 – 6/08)

BA, Mathematics and Secondary Education Mathematics, University of Scranton, Scranton, PA

(6/03 – 5/06)

**Business Experience:**

***Managing Member***

ALPHA ARCHITECT, Broomall, PA

(03/12 – Present)

***Analyst***

ALPHA ARCHITECT and EMPIRITRAGE, Broomall, PA

(11/11 – 03/12)

***Ph.D. Candidate / Research Assistant (Finance Dept.)***

Drexel University, Philadelphia, PA

(2009-2013)

***Instructor (Mathematics Dept.)***

Drexel University, Philadelphia, PA

(2008-2009)

## **ITEM 3 DISCIPLINARY INFORMATION**

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None. Mr. Vogel, Investment Adviser Representative, does not have any legal or disciplinary events material to a client's or prospective client's evaluation.

## **ITEM 4 OTHER BUSINESS ACTIVITIES**

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As of January, 2015, Dr. Jack Vogel is a part-time adjunct instructor of finance at Villanova University.

## **ITEM 5 ADDITIONAL COMPENSATION**

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None. Mr. Vogel, Investment Advisor Representative, does not receive any economic benefit from any third party for providing advisory services.

## **ITEM 6 SUPERVISION**

---

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**NOTICE:**

**This brochure supplement provides information about TAO WANG that supplements the ALPHA ARCHITECT brochure. You should have received a copy of that brochure. Please contact Compliance at 215-882-9983, if you did not receive the brochure of ALPHA ARCHITECT. You can also contact Patrick Cleary if you have any questions about the content of attached supplement. Additional information about the IAR delineated within this supplement is available on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) . You can search this website by using the IAR's CRD number as listed herein.**

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**TAO WANG**

**INVESTMENT ADVISER REPRESENTATIVE**

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March 22, 2017



## ITEM 2 EDUCATIONAL AND BUSINESS EXPERIENCE

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### **TAO WANG, Managing Member**

CRD No. 6138867

Year of Birth: 1988

#### Education Background:

MS, Finance, Drexel University, Philadelphia, PA

(9/10 – 6/12)

BA/BL, Journalism/International Business Law, Shanghai University of Finance and Economics, Shanghai, China

(9/06 – 6/10)

#### Business Experience:

##### ***Managing Member***

ALPHA ARCHITECT, Broomall, PA

(9/13 – Present)

##### ***Analyst***

ALPHA ARCHITECT and EMPIRITRAGE, Broomall, PA

(06/12 – 8/13)

## ITEM 3 DISCIPLINARY INFORMATION

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None. Mr. Wang, Investment Adviser Representative, does not have any legal or disciplinary events material to a client's or prospective client's evaluation.

## ITEM 4 OTHER BUSINESS ACTIVITIES

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None.

## ITEM 5 ADDITIONAL COMPENSATION

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None. Mr. Wang, Investment Advisor Representative, does not receive any economic benefit from any third party for providing advisory services.

## ITEM 6 SUPERVISION

---

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**NOTICE:**

**This brochure supplement provides information about YANG XU that supplements the ALPHA ARCHITECT brochure. You should have received a copy of that brochure. Please contact Compliance at 215-882-9983, if you did not receive the brochure of ALPHA ARCHITECT. You can also contact Patrick Cleary if you have any questions about the content of attached supplement. Additional information about the IAR delineated within this supplement is available on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) . You can search this website by using the IAR's CRD number as listed herein.**

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**YANG XU**

**INVESTMENT ADVISER REPRESENTATIVE**

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March 22, 2017

## **ITEM 2 EDUCATIONAL AND BUSINESS EXPERIENCE**

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**Yang Xu, Managing Member**

CRD No. 6316689

Year of Birth: 1987

**Education Background:**

MS, Finance, Drexel University, Philadelphia, PA (9/09 – 6/11)

BA, Economics, University of International Business and Economics, Beijing, China (9/05 – 7/09)

**Business Experience:**

***Managing Member***

ALPHA ARCHITECT, Broomall, PA (5/2014 – Present)

***Principal Data Analyst***

Capital One, McLean, VA (4/2012 – 5/2014)

## **ITEM 3 DISCIPLINARY INFORMATION**

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None. Mr. Xu, Investment Adviser Representative, does not have any legal or disciplinary events material to a client's or prospective client's evaluation.

## **ITEM 4 OTHER BUSINESS ACTIVITIES**

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None.

## **ITEM 5 ADDITIONAL COMPENSATION**

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None. Mr. Xu, Investment Advisor Representative, does not receive any economic benefit from any third party for providing advisory services.

## **ITEM 6 SUPERVISION**

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