

## Part 2B of Form ADV: *Brochure Supplement*

Joshua D. Stamm

Investment Advisor Representative

1024 East Grand River Avenue  
Brighton, Michigan 48116  
1-810-355-1325

This Brochure Supplement provides information about the background and qualifications of Joshua D. Stamm that supplements the Caitlin John, LLC brochure. You should have received a copy of that brochure. Please contact Caitlin John, LLC at 1-810-355-1325 or 1-877-238-1680 if you did not receive Caitlin John, LLC's brochure or if you have any questions about the contents of this supplement.

The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

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

July 2017

## Joshua D. Stamm

### EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Joshua D. Stamm, CFP® (CRD#4557338) is an Investment Advisor Representative

**Year of birth:** 1972

**Education:** Liberty University, Bachelor's Degree 1997

**Professional Designations:** Certified Financial Planner, 2014

A candidate aiming to earn the CFP must meet requirements in four categories: education, CFP exam, work experience and ethics. The education requirements contain two major components. First, the candidate must verify that he holds a bachelor's degree or higher from an accredited university or college recognized by the U.S. Department of Education. Second, completion of a list of specific coursework in financial planning is required by the CFP Board. Most of this second requirement, besides the capstone course, may be bypassed if the candidate holds one of many accepted financial designations, such as CFA, CPA or a higher degree in business. All candidates are required to pass the CFP exam, which is a computer-based exam taken by candidates over a three-day period. The exam is 170 multiple choice questions, which include stand-alone questions as well as item-set-style questions. The exam topic weights change regularly but include areas such as professional conduct and regulations, financial planning principles, education planning, risk management, insurance, investments, tax planning, retirement planning, and estate planning. The candidate is tested in these areas as well as his ability to establish client-planner relationships, gathering information, analysis, and developing, communicating, implementing and monitoring recommendations.

### **Business Background:**

He has almost 15 years of industry experience since August 2002 and continuing course education along with holding the Series 65 and Certified Financial Planner (CFP®) designation.

### **Business background and positions held for the preceding five years:**

#### **Caitlin John. LLC 02/2017-Present**

Investment Advisor Representative

#### **Legacy Wealth Management Group 02/2017-Present**

President/Financial Advisor

#### **Old Dominion Insurance Partners 07/2016-Present**

Owner/Insurance Agent

#### **Merrill Lynch 03/2008-06/2016**

Branch Manager and Financial Advisor

**DISCIPLINARY INFORMATION**

- A. There has been no criminal or civil action in a domestic, foreign or military court of competent jurisdiction in which Joshua D. Stamm has been involved.
- B. In January of 2017, Mr. Stamm entered into a settlement agreement with the State of Virginia SCC, where he neither admitted or denied the State's allegation of not receiving prior approval from Merrill Lynch before engaging in securities activities outside the firm and effecting securities transactions not recorded on the books and records of the firm.
- C. Joshua D. Stamm has responded to an inquiry from FINRA concerning his departure from Merrill Lynch.

**OTHER BUSINESS ACTIVITIES**

Joshua D. Stamm owns Old Dominion Insurance Partners, which provides non-investment insurance products to his clients and the general public. He spends approximately 20 hours a month on this activity.

Joshua D. Stamm is a co-owner of Legacy Auditorium, LLC which maintain books and records pertaining to the rental of Legacy Wealth Management Group's auditorium by outside organizations. This business is not investment related and was started in July of 2017. It is located at 1971 English Tavern Road, Lynchburg, VA 24501.

**ADDITIONAL COMPENSATION**

Joshua D. Stamm is not compensated with performance based fees.

Joshua D. Stamm is not compensated in addition to his fee received from Caitlin John, LLC.

**SUPERVISION**

Joshua D. Stamm (Investment Advisor Representative) is supervised by Ronald J. Briggs Jr., CCO from the Caitlin John, LLC's main office located at 1024 E. Grand River Ave Brighton, Michigan 48116. Joshua D. Stamm can be reached at (434) 266-1214 or by email at [jstamm@cjadvisor.com](mailto:jstamm@cjadvisor.com).