

**ITEM 1: Cover Page for
PART 2B OF FORM ADV:
BROCHURE SUPPLEMENT
DATED 4/24/2014**

**AVALAN, LLC
233 E CARILLO, SUITE B
SANTA BARBARA, CA 93101**

PHONE NUMBER: (805) 962-7725

FIRM CONTACT: RICHARD SCHUETTE, CHIEF COMPLIANCE OFFICER

FIRM WEBSITE ADDRESS: WWW.AVALANWEALTH.COM

This brochure supplement provides information about Mr. Schuette that supplements our brochure. You should have received a copy of that brochure. Please contact Mr. Schuette if you did not receive Avalan, LLC's brochure or if you have any questions about the contents of this supplement.

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

Item 2 Educational Background and Business Experience

Richard Schuette

Born: 7/28/1967

Education:

1990 - California Lutheran University, Thousand Oaks, CA - BA Business Administration

Licenses and other Professional Designations:

07/06 - CFP® designee

Employment:

03.2011 to Present: Avalan, Owner, CCO and Investment Adviser Representative

10/2005 to Present: Girard Securities, Inc., Registered Representative

07/2006 to 03/2011: VIDA Wealth Partners, Inc., CCO and Investment Adviser Representative

11/2005 to 03/2011: DBN Wealth Management, LLC, Investment Adviser Representative

10/2002 to 10/2005: Westminster Financial Securities, Inc., Registered Representative

01/2001 to 10/2002: Gold Coast Securities, Inc., Registered Representative

05/1999 to 10/2002: Gold Coast Advisory LLC, Investment Advisory Representative

09/1998 to 10/2002: Select Advisors, Inc., Investment Advisory Representative

09/1998 to 10/2002: London Pacific Securities, Registered Representative

09/1998 to 10/2002: Select Capital Corporation, Registered Representative

We may list any professional designations held by Mr. Schuette, we must provide you with a sufficient explanation of the minimum qualifications required for each designation to allow you to understand the value of the designation.

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.

Item 3 Disciplinary Information

Mr. Schuette does not have any legal or disciplinary information to disclose.

Item 4 Other Business Activities

Our firm's management person Mr. Schuette is a registered representative of Girard Securities, Inc., a registered Broker/Dealer, member FINRA/SIPC. Clients are under no obligation to purchase or sell securities through Mr. Schuette or other Advisory Representatives of our firm. However, if our clients choose to implement the plan, commissions may be earned in addition to any fees paid for advisory services.

Mr. Schuette may have a conflict of interest in having our firm's clients purchase securities products and services through them.

Mr. Schuette is also a licensed life, health and variable contracts agent. As an insurance agent, Mr. Schuette may offer various insurance products. Commissions may be earned if the insurance products are purchased through our firm. Our clients are under no obligation to purchase insurance products recommended or offered by our firm. Mr. Schuette spends approximately 5% of his time in the capacity as an insurance agent.

Mr. Schuette is the Treasurer for the Endowment of his Church, Trinity Evangelical Lutheran. Mr. Schuette spends approximately 5% of his time in this capacity.

Mr. Schuette is the President of the Board of The Ensemble Theatre Company. Mr. Schuette spends approximately 5% of his time in this capacity.

Mr. Schuette is on the Board for the University Club of Santa Barbara. Mr. Schuette spends approximately 5% of his time in this capacity.

Item 5 Additional Compensation

Mr. Schuette does not currently have any additional compensation to disclose.

Item 6 Supervision

Mr. Schuette is the sole principal and Chief Compliance Officer and as such is self-supervised.

Email: Rich@avalanwealth.com

Phone: 805.962.7725

Item 7 Requirements for State-Registered Advisers

A. In addition to the events listed in Item 3 of Part 2B, if Mr. Schuette has been involved in one of the events listed below, we disclose all material facts regarding the event.

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
 - (a) an investment or an *investment-related* business or activity;
 - (b) fraud, false statement(s), or omissions;
 - (c) theft, embezzlement, or other wrongful taking of property;
 - (d) bribery, forgery, counterfeiting, or extortion; or
 - (e) dishonest, unfair, or unethical practices.

We have nothing to disclose in this regard.

2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
 - (a) an investment or an *investment-related* business or activity;

- (b) fraud, false statement(s), or omissions;
- (c) theft, embezzlement, or other wrongful taking of property;
- (d) bribery, forgery, counterfeiting, or extortion; or
- (e) dishonest, unfair, or unethical practices.

B. If Mr. Schuette has been the subject of a bankruptcy petition, we must disclose that fact, the date the petition was first brought, and the current status.

We have nothing to disclose in this regard

