

**Item 1: Cover Page  
Part 2B of Form ADV: Brochure Supplement  
January 2016**

**Joseph Wallace, CFP®**

**Wallace Advisory Group, LLC  
3658 Mount Diablo Boulevard, Suite 225  
Lafayette, CA 94549  
[www.WallaceAdvisory.com](http://www.WallaceAdvisory.com)**

**Firm Contact:  
Craig Wallace  
Chief Compliance Officer**

**This brochure supplement provides information about Mr. Wallace that supplements our brochure. You should have received a copy of that brochure. Please contact Craig Wallace if you did not receive Wallace Advisory Group, LLC's brochure or if you have any questions about the contents of this supplement. Additional information about Mr. Wallace is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

## Item 2: Educational Background & Business Experience

**Joseph William Wallace, CFP®**

**Year of Birth:** 1989

### **Educational Background:**

- 2012: University of California Santa Barbara; Bachelor of Arts in Sociology
- 2011: College of San Mateo; Associates Degree
- 2009: University of Nevada; No Degree Obtained

### **Business Background:**

- 10/2015 – Present Wallace Advisory Group, LLC; Managing Member & Investment Advisor
- 10/2015 – Present M Financial Group; Registered Representative
- 05/2013 – 10/2015 Eagle Strategies LLC; Investment Advisor
- 12/2012 – 10/2015 NYLIFE Securities LLC dba Wallace Financial & Insurance Solutions; Investment Advisor
- 11/2012 – 10/2015 New York Life Insurance Company; Agent
- 07/2012 – 12/2012 William Wallace, CLU/ChFC; Assistant

### **Exams, Licenses & Other Professional Designations:**

- 2014: Certified Financial Planner™ (CFP®)
- 2013: Series 7 & 66 Exam
- Insurance License (#0I03105) – Accident & Health, Life Only & Variable Contracts

Certified Financial Planner™ certification is obtained by completing an advanced college-level course of study addressing the financial planning subject areas that the CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services, a comprehensive certification exam (administered in 10 hours over a 2 day period) and agreeing to be bound by the CFP Board's Standard of Professional Conduct. As a prerequisite the IAR must have a bachelor's degree from a regionally accredited United States college or university (or foreign university equivalent) and have at least 3 years of full time financial planning experience (or equivalent measured at 2,000 hours per year). This designation requires 30 hours of continuing education every 2 years and renewing an agreement to be bound by the standards of professional conduct.

## Item 3: Disciplinary Information<sup>1</sup>

There are no legal or disciplinary events material to the evaluation of Mr. Wallace.

<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 the advisor to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of advisor 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.

#### **Item 4: Other Business Activities**

Mr. Wallace is a registered representative of M Financial Group, member FINRA/SIPC, and licensed insurance agent/broker. He may offer products and receive normal and customary commissions as a result of these transactions. A conflict of interest may arise as these commissionable securities sales may create an incentive to recommend products based on the compensation earned.

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

Mr. Wallace does not receive any other economic benefit for providing advisory services in addition to advisory fees.

#### **Item 6: Supervision**

Craig Wallace supervises and monitors Joseph Wallace's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Craig Wallace if you have any questions about Joseph Wallace's brochure supplement at 925-284-6880.

#### **Item 7: Requirements for State-Registered Advisers**

Mr. Wallace has not been involved in any arbitration claim alleging damages in excess of \$2,500. Furthermore, he has neither been involved in nor found liable in any civil, self-regulatory organization, or administrative proceeding nor has been the subject of any bankruptcy petitions.