

**Item 1: Cover Page**  
**Part 2B of Form ADV: Brochure Supplement**  
**August 2020**



**Geraldo “Mike” Alves**

**Vida Private Wealth LLC**  
**155 N Lake Avenue, Suite 800**  
**Pasadena, CA 91101**  
**[www.vidapw.com](http://www.vidapw.com)**

This brochure supplement provides information about Mr. Alves that supplements our brochure. You should have received a copy of that brochure. Please contact Mr. Alves if you did not receive Vida Private Wealth LLC’s brochure or if you have any questions about the contents of this supplement. Additional information about Mr. Alves is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD #4963763.

## Item 2: Educational Background & Business Experience

**Mike Alves**

**Year of Birth:** 1976

### **Educational Background:**

- 2020: Golden Gate University; Master of Science in Advanced Financial Planning
- 2005: University of California, Riverside; Bachelor of Science in Business Administration
- 2002: Mt. San Antonio Community College; Associate of Science in Business Administration

### **Business Background:**

- 05/2020 – Present Vida Private Wealth LLC; Managing Director & Chief Compliance Officer
- 10/2018 – 05/2020 Cantella & Co., Inc.; Registered Representative & Investment Adviser Representative
- 04/2006 – 10/2018 Merrill Lynch; Registered Representative & Investment Adviser Representative

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

- 10/2011: Chartered Life Underwriter (CLU®)
- 02/2011: CERTIFIED FINANCIAL PLANNER™, CFP®
- 09/2008: Chartered Retirement Planning Counselor (CRPC®)
- 08/2005: Series 31 Exam
- 08/2005: Series 66 Exam
- 07/2005: Series 7 Exam
- CA Resident Insurance Producer; License No. 0E89550

### **Chartered Life Underwriter (CLU®)**

The CLU® is offered by The American College. The CLU® designation is obtained by completing 8 core, 3 elective courses and a final exam for each course. As a prerequisite the IAR must have 3 years of full-time business experience within the 5 years preceding the awarding of the designation. All candidates must meet ethics standards and agree to comply with The American College Code of Ethics and Procedures. This designation requires 30 hours of continuing education every 2 years.

### **CERTIFIED FINANCIAL PLANNER™, CFP®**

The CFP® 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 and agreeing to be bound by the CFP® board's *Standard of Professional Conduct*. As a prerequisite, the individual 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*.

## **Chartered Retirement Planning Counselor (CRPC®)**

The CRPC® is offered by The College for Financial Planning®. The CRPC® Program focuses on the pre- and post-retirement needs of individuals. Enrollment in the program guides you through the retirement process, addressing issues such as estate planning and asset management. The College for Financial Planning® awards the Chartered Retirement Planning Counselor<sup>SM</sup> and CRPC® designation to students who: successfully complete the program; pass the final examination; and comply with the Code of Ethics, which includes agreeing to abide by the Standards of Professional Conduct promulgated by The College for Financial Planning®. Applicants must also disclose of any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct. Conferment of the designation is contingent upon the College for Financial Planning's review of matters either self-disclosed or which are discovered by the College that are required to be disclosed. Successful students receive a certificate and are granted the right to use the designation on correspondence and business cards for a two-year period. Continued use of the CRPC® designation is subject to ongoing renewal requirements. Every two years individuals must renew their right to continue using the CRPC® designation by: completing 16 hours of continuing education and reaffirming to abide by the Standards of Professional Conduct, Terms and Conditions, and self-disclose any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct.

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

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

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

Mr. Alves is a licensed insurance agent/broker. He may offer insurance products and receive customary fees as a result of insurance sales. A conflict of interest may arise as these insurance sales may create an incentive to recommend products based on the compensation earned. To mitigate this potential conflict, Mr. Alves, as a fiduciary, will act in the client's best interest.

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

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

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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 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 6: Supervision**

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

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

Mr. Alves 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.