

**FORM ADV Uniform Application for Investment Adviser Registration**

**Part 2B: Brochure Supplements**

**Item 1: Cover Page**

**Mark A. Porath, CEO, CCO**

**David Brittain, Senior Vice President**

**Steven C. Porath, Senior Vice President/General  
Counsel**

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A California corporation**  
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**IARD #112226**

**SEC File No. 801-55793**

**March 31, 2020**

*This brochure provides information about Mark A. Porath; David Brittain and Steven C. Porath. This information is provided as supplemental information to Hearthstone's Form ADV Part 2A Investment Advisor Brochure. You should have received a copy of that Brochure. Please contact Mark Porath if you did not receive Hearthstone's Investment Advisor Brochure or if you have any questions regarding these Part 2B Brochure Supplements.*

*Additional information about Hearthstone, Inc. and the employees listed above is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)*

# Mark A. Porath. Chief Executive Officer; Chief Compliance Officer; Member – Land Committee

## **Item 2: Educational Background and Business Experience**

**Born:** 1962

### **Education after High School:**

BS in Accounting, 1986. San Diego State University

CPA (Certified Public Accountant), 1989

MBA, 1993. University of Southern California

### **Business Background, preceding 5 years (all at Hearthstone):**

Chief Executive Officer, 2010 to Present

President and Chief Financial Officer, 2009 to 2010

Chief Financial Officer, 1997 to 2010

Controller, 1992 to 1997

Chief Compliance Officer, 2006 to Present

Compliance Officer, 1992 to 2006

## **Item 3: Disciplinary Information**

As of the date of this filing, Mark Porath is not subject to any disciplinary, regulatory, civil, criminal, legal or otherwise reportable findings.

## **Items 4 & 5: Other Business Activities & Additional Compensation**

Mark Porath does not engage in any other business activities and receives no additional compensation.

## **Item 6: Supervision**

As Chief Executive Officer and Chief Compliance Officer, Mark Porath remains responsible for all aspects of the firm's operations. For compliance-related purposes, Mark Porath is supervised by Steven Porath, general counsel, and by David Brittain, chair of the Land Committee. Mark Porath remains available to respond to questions and/or concerns regarding Hearthstone and its personnel. Please see the contact information on the cover page of this brochure.

## David Brittain. Senior Vice President/Chairman – Land Committee

### Item 2: Educational Background and Business Experience

**Born:** 1961

**Education after High School:**

BA in Mathematics, 1983. Dartmouth College  
MBA, 1986. University of Southern California  
California (B) Contractor's License, 1996

**Business Background, preceding 5 years (all at Hearthstone):**

Senior Vice President/Chairman – Land Committee, 2013 to Present  
Senior Vice President and Director, Off-Balance Sheet Financing, 1997 to Present

### Item 3: Disciplinary Information

As of the date of this filing, David Brittain is not subject to any disciplinary, regulatory, civil, criminal, legal or otherwise reportable findings.

### Items 4 & 5: Other Business Activities & Additional Compensation

David Brittain does not engage in any other business activities and receives no additional compensation.

### Item 6: Supervision

By means of frequent office interaction, David Brittain's activities are supervised by Mark Porath, CEO and CCO. Mark Porath can be reached at 818-385-3541 or mporath@hearthstone.com.

# Steven C. Porath, Senior Vice President/General Counsel

## Item 2: Educational Background and Business Experience

**Born:** 1960

**Education after High School:**

BS in Accounting, 1982. University of Southern California  
JD, 1985. McGeorge School of Law/University of the Pacific  
Member of State Bar of California, Since 1985.

**Business Background, preceding 5 years:**

Hearthstone General Counsel, 2013 to Present  
Hearthstone Director of Residential Services, Nov 2012 through Jan 2013  
Commercial Mortgage Broker/Responsible Party, Fulcrum Capital, 2007 through Oct, 2012

## Item 3: Disciplinary Information

As of the date of this filing, Steven Porath is not subject to any disciplinary, regulatory, civil, criminal, legal or otherwise reportable findings.

## Items 4 & 5: Other Business Activities & Additional Compensation

Steven Porath does not engage in any other business activities and receives no additional compensation.

## Item 6: Supervision

By means of frequent office interaction, Steven Porath's activities are supervised by Mark Porath, CEO and CCO. Mark Porath can be reached at 818-385-3541 or mporath@hearthstone.com.