

Form ADV Part 2B

## **Disclosure Brochure Supplement**

for

**Jameson Van Houten**

**Alvin Turner**

**Todd Ruble**

**Travis L. Powell**

**Sean P. Mahoney**

**Stonegate Capital Advisors, LLC**

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This brochure supplement provides information about the referenced Stonegate Capital Advisors, LLC (Stonegate) Investment Advisor Representatives (IARs) that supplement the Stonegate disclosure brochure. You should have received a copy of that brochure. Please contact the Stonegate office if you did not receive Stonegate's disclosure brochure or if you have any questions about the contents of this supplement.

Additional information about each of Stonegate's IARs is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Jameson Van Houten, CFP®

### Item 2. Educational Background and Business Experience

Born: 1975

#### Business Background

06/2004 to Present	Stonegate Capital Advisors, LLC	CEO, CIO and Investment Adviser Representative
04/2007 to Present	Integrated Tax & Financial Strategies, LLC.	Managing Member
08/2002 to Present	Various Insurance Companies Insurance	Agent
03/2013 to Present	Crown Capital Securities, LP	Registered Representative
08/2010 to 03/2013	The O.N. Equity Sales Company	Registered Representative
10/2008 to 08/2010	Sagepoint Financial, Inc.	Registered Representative

#### Education:

Jameson attended Pepperdine University for 2 years and then transferred to the Barrett Honors College at Arizona State University. He graduated from Barrett Honor College with a 4.0 GPA. He earned Valedictorian and Most Outstanding Graduating Senior, and graduated Summa Cum Laude and Phi Kappa Phi.

#### The CFP® Certification

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**

Jameson Van Houten has nothing to disclose in this area.

### **Item 4. Other Business Activities**

Jameson Van Houten is Manager of Integrated Tax & Financial Strategies, LLC, a firm located in Scottsdale, Arizona that provides fee-based financial and tax consulting.

Jameson Van Houten is also associated with Crown Capital Securities, LP (Crown) as a registered representative. Crown is a registered broker-dealer and a member of the Financial Industry Regulatory Authority (FINRA). As a Crown registered representative, Jameson Van Houten may offer clients the option to purchase securities and investment products distributed by that firm including, but not limited to, mutual funds, variable annuities, variable life insurance, stocks and bonds, and limited partnerships. If a client purchases or sells securities products from Jameson Van Houten in this capacity, then he will receive commissions and related compensation, such as mutual fund service fees (SEC Rule 12b-1 fees).

Jameson Van Houten is also a licensed insurance agent appointed with various insurance companies. As a licensed insurance agent, Jameson Van Houten may offer investment advisory clients the option to purchase insurance products. If a client purchases insurance products through Jameson Van Houten, he will receive commission and related compensation, such as insurance trail fees as a result of the sale.

Jameson Van Houten makes every effort to recommend securities and insurance products that are most appropriate for the client, without consideration of compensation arrangements. Clients are under no obligation to purchase recommended securities or insurance products through Crown or Jameson Van Houten and may purchase such products through the broker-dealer or insurance agency of their choice.

### **Item 5. Additional Compensation**

Jameson Van Houten does not receive any economic benefit from any non-client for providing advisory services to clients.

### **Item 6. Supervision**

As President and principal executive officer of Stonegate, Jameson Van Houten has ultimate and direct supervisory responsibility over all personnel and functional areas of Stonegate. Mr. Van Houten regularly reviews required reports and activities of Stonegate and its personnel for compliance with applicable requirements. Mr. Van Houten may be reached through the contact information on the front of this Form ADV Part 2B Brochure Supplement.

## **Alvin Turner**

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

Born: 1952

#### **Business Background**

11/2010 to Present	Stonegate Capital Advisors, LLC	Investment Advisor Representative
09/2006 to Present	Benefit Strategies, LLC	Manager
08/1997 to Present	Various Insurance Companies	Insurance Agent
03/2013 to Present	Crown Capital Securities, LP	Registered Representative
10/2010 to 12/2011	The O.N. Equity Sales Company	Registered Representative
10/2008 to 09/2010	Sagepoint Financial, Inc.	Registered Representative

#### **Education:**

Attended Mesa Community College.

### **Item 3. Disciplinary Information**

Alvin Turner has nothing to disclose in this area.

### **Item 4. Other Business Activities**

Alvin Turner is also associated with Crown Capital Securities, LP (Crown) as a registered representative. Crown is a registered broker-dealer and a member of the Financial Industry Regulatory Authority (FINRA). As a Crown registered representative, Alvin Turner may offer clients the option to purchase securities and investment products distributed by that firm including, but not limited to, mutual funds, variable annuities, and variable life insurance. If a client purchases or sells securities products from Alvin Turner in this capacity, then he will receive commissions and related compensation, such as mutual fund service fees (SEC Rule 12b-1 fees).

Alvin Turner is also a licensed insurance agent appointed with various insurance companies for the offer of health insurance, life insurance, annuities, disability income insurance products and health insurance. Additionally, Mr. Turner is Manager of Benefit Strategies, LLC through which he makes available certain insurance products. As a licensed insurance agent, Alvin Turner may offer investment advisory clients the option to purchase insurance products. If a client purchases insurance products through Alvin Turner, he will receive commission and related compensation, such as insurance trail fees as a result of the sale.

Alvin Turner makes every effort to recommend securities and insurance products that are most appropriate for the client, without consideration of compensation arrangements. Clients are under no obligation to purchase recommended securities or insurance products through Crown or Alvin Turner and may purchase such products through the broker-dealer or insurance agency of their choice.

### **Item 5. Additional Compensation**

Alvin Turner does not receive any economic benefit from any non-client for providing advisory services to clients.

### **Item 6. Supervision**

As President and principal executive officer of Stonegate, Jameson Van Houten and debbie freeman CCO have ultimate and direct supervisory responsibility over all personnel and functional areas of Stonegate, including those of Mr. Turner. Mr. Van Houten regularly reviews required reports and activities of Stonegate and its personnel for compliance with applicable requirements. Mr. Van Houten may be reached through the contact information on the front of this brochure.

## **Todd Ruble**

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

Born: 1970

#### **Business Background**

02/2015 to Present	Stonegate Capital Advisors, LLC	Portfolio Manager
06/2014 to 01/2015	Robotic Trading Advisors, LLC	Portfolio Manager
01/2013 to 05/2014	Cercidium Capital Management, LP	Portfolio Manager
09/2012 to 01/2013	Palo Verde Capital, LLC	Portfolio Manager
03/2010 to 08/2012	Gradient Analytics	Institutional Sales

#### **Education:**

Todd graduated from University of St. Thomas with a degree in Financial Management.

### **Item 3. Disciplinary Information**

Todd Ruble has nothing to disclose in this area.

### **Item 4. Other Business Activities**

Todd Ruble has nothing to disclose in this area.

### **Item 5. Additional Compensation**

Todd Ruble does not receive any economic benefit from any non-client for providing advisory services to clients.

### **Item 6. Supervision**

As President and principal executive officer of Stonegate, Jameson Van Houten and debbie freeman CCO have ultimate and direct supervisory responsibility over all personnel and functional areas of Stonegate, including those of Mr. Ruble. Mr. Van Houten regularly reviews required reports and activities of Stonegate and its personnel for compliance with applicable requirements. Mr. Van Houten may be reached through the contact information on the front of this brochure.

**Travis L Powell, CFP®, CRPS®**

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

Born: 1983

### **Business Background**

04/2018 to Present	Stonegate Capital Advisors, LLC	Wealth Advisor
07/2017 – 03/2018	MassMutual Commonwealth	Wealth Management Advisor
05/2010 – 07/2017	Ameriprise Financial Services	Financial Advisor

### **Education:**

Travis L Powell graduated from Virginia Polytechnic & State University (Virginia Tech) with a B.S. in Applied Economic Management. Prior to that, Travis L Powell graduated from Tidewater Community College.

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- 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.

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- 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.

#### Chartered Retirement Plans Specialist<sup>s</sup>

Individuals who hold the CRPS® designation have completed a course of study encompassing design, installation, maintenance and administration of retirement plans. Additionally, individuals must pass an end-of-course examination that tests their ability to synthesize complex concepts and apply theoretical concepts to real-life situations.

#### Professional Designation Requirements:

- **Education:** The year-long educational program for each designation encompasses specific content covering both theory and practical application. The curriculum is developed by the College's highly esteemed faculty with input from the country's top investment and financial firms giving students the benefit of applying their learning to real-world situations and cases. As a regionally-accredited institution of higher learning, the College applies rigorous pedagogical principles to all its curricula. The College for Financial Planning, with more than 37 years of financial services education expertise, is the most established and experienced provider of financial planning education in the industry.
- **Examination:** Individuals are required to pass a proctored and timed end-of-course examination with a 70% score or higher. The examination tests the individual's ability to synthesize complex concepts and apply theoretical concepts to real-life situations.

After successful completion of the end-of-course examination, individuals apply for authorization to use the designation. The application includes:

- **Adherence to Standards of Professional Conduct.** [The Standards of Professional Conduct](#) establishes minimum standards of acceptable professional conduct for persons authorized to use the Registered Marks.
- **Self-Disclosure.** Applicants must disclose 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.
- **Adherence to Terms and Conditions.** The Terms and Conditions outline designees' rights to use the College's Marks and acknowledges the rights of the College to protect the Marks from unauthorized use by individuals or entities.

#### Renewal Requirements:

- Following initial conferment of one of the College for Financial Planning's professional designations, authorization for continued use of the credential must be renewed every two years by completing 16-hours of continuing education, reaffirming compliance with the Standards of Professional Conduct, Terms and Conditions and complying with self-disclosure requirements.
- The College monitors its designees' compliance with the designation requirements and standards. Any alleged violations are subject to disciplinary procedures.

### **Item 3. Disciplinary Information**

Travis L Powell has nothing to disclose in this area.

### **Item 4. Other Business Activities**

Travis L Powell has nothing to disclose in this area.

### **Item 5. Additional Compensation**

Travis L Powell does not receive any economic benefit from any non-client for providing advisory services to clients.

### **Item 6. Supervision**

As President and principal executive officer of Stonegate, Jameson Van Houten and debbie freeman CCO have ultimate and direct supervisory responsibility over all personnel and functional areas of Stonegate, including those of Mr. Powell. Mr. Van Houten regularly reviews required reports and activities of Stonegate and its personnel for compliance with applicable requirements. Mr. Van Houten may be reached through the contact information on the front of this brochure.

**Sean P. Mahoney**

**Item 2. Educational Background and Business Experience**

Born: 1980

**Business Background:**

05/2018 to Present Stonegate Capital Advisors LLC – Wealth Advisor  
09/2017 to 4/2018 Stonegate Capital Advisors LLC - Wealth Analyst  
07/2012 to 08/2017 BMO Harris Bank - Bank Manager / Wealth Analyst  
02/2008 to 06/2012 BBVA Compass Bank - Licensed Bank Manager  
04/2006 to 01/2008 JP Morgan Chase Bank - Licensed Banker

**Education:**

Sean P. Mahoney graduated with a Bachelor's of Science Degree in Business Management at Worcester State University

Sean P. Mahoney completed his MBA at University of Massachusetts

**Item 3. Disciplinary Information**

Sean P. Mahoney has nothing to disclose in this area.

**Item 4. Other Business Activities**

Sean P. Mahoney has nothing to disclose in this area.

**Item 5. Additional Compensation**

Sean P. Mahoney does not receive any economic benefit from any non-client for providing advisory services to clients.

**Item 6. Supervision**

As President and principal executive officer of Stonegate, Jameson Van Houten and debbie freeman CCO have ultimate and direct supervisory responsibility over all personnel and functional areas of Stonegate, including those of Mr. Sean P. Mahoney. Mr. Van Houten regularly reviews required reports and activities of Stonegate and its personnel for compliance with applicable requirements. Mr. Van Houten may be reached through the contact information on the front of this brochure.