

# **Form ADV Part 2B – Brochure Supplement**

**for**

**Mark D. Piccerelli  
Vice President, Retirement Plan Services**

**Effective: March 19, 2020**

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Mark D. Piccerelli (CRD# **2201802**) in addition to the information contained in the Ivy Wealth Management, Inc. (“IWM” or the “Advisor”) (CRD # 164557) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the IWM Disclosure Brochure or this Brochure Supplement, please contact us at (401) 681-4266 or by email at [info@ivywealth.net](mailto:info@ivywealth.net).

Additional information about Mr. Piccerelli is available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

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## Item 2 – Educational Background and Business Experience

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Mark D. Piccerelli, born in 1968, is dedicated to advising Clients of IWM as a Vice President, Retirement Plan Services. Mr. Piccerelli has attended classes at Bryant College. Additional information regarding Mr. Piccerelli's employment history is included below.

### Employment History:

Vice President, Retirement Plan Services, Ivy Wealth Management, Inc.	02/2016 to Present
Registered Representative, M Holdings Securities	09/2001 to 02/2016
Investment Advisor Representative, EB Inc.	09/2001 to 02/2016

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## Item 3 – Disciplinary Information

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*There are no legal, civil or disciplinary events to disclose regarding Mr. Piccerelli.* Mr. Piccerelli has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Piccerelli.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and /or dishonest, unfair or unethical practices. *As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Piccerelli.*

However, we do encourage you to independently view the background of Mr. Piccerelli on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 2201802.

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## Item 4 – Other Business Activities

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### Insurance Agency Affiliations

Mr. Piccerelli also serves as a licensed insurance professional. Implementations of insurance recommendations are separate and apart from Mr. Piccerelli's role with IWM. As an insurance professional, Mr. Piccerelli may receive customary commissions and other related revenues from the various insurance companies whose products are sold. Mr. Piccerelli is not employed by any particular insurance agency and is not required to utilize the products of any insurance company. Commissions generated by insurance sales do not offset regular advisory fees. This may cause a conflict of interest in recommending certain products of the insurance companies. Clients are under no obligation to implement any recommendations made the Advisor or Mr. Piccerelli.

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## Item 5 – Additional Compensation

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Mr. Piccerelli has additional business activities where compensation is received that are detailed in Item 4 above.

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## Item 6 – Supervision

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Mr. Piccerelli serves as a Vice President, Retirement Plan Services of IWM and is supervised by Todd Sadwin, the Chief Compliance Officer. Mr. Sadwin can be reached at (401) 681-4266.

IWM has implemented a Code of Ethics, an internal compliance document that guide each Supervised Persons in meeting their fiduciary obligations to Clients of IWM. Further, IWM is subject to regulatory oversight by various agencies. These agencies require registration by IWM and its Supervised Persons. As a registered entity, IWM is subject to examinations by regulators, which may be announced or unannounced. IWM is required to

periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.

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**Ivy Wealth Management, Inc.**

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<http://www.ivywealth.net>