



# FORM ADV PART 2B BROCHURE SUPPLEMENT

December 9, 2020

Mondeum Wealth Advisors, LLC

**John A. Mendez**

Mondeum Wealth Advisors, LLC is a registered investment adviser. Registration with the United States Securities and Exchange Commission or any state securities authority does not imply a certain level of skill or training.

This brochure supplement provides information about John A. Mendez that supplements the Mondeum Wealth Advisors, LLC brochure. You should have received a copy of that brochure. Contact us at 833-781-6336 if you did not receive Mondeum Wealth Advisors, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about John A. Mendez (CRD # 2185151) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## ITEM 2 EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**John A. Mendez**

*Year of Birth:* 1965

*Formal Education After High School:*

- University of Miami, Bachelor of Accounting, 1990

*Business Background:*

- Mondeum Wealth Advisors, LLC, Chief Executive Officer, 2/2020–Present
- Mondeum Capital, LLC, Chief Executive Officer/Chief Compliance Officer, 6/2020–Present
- Mondeum Securities US, LLC, Chief Executive Officer/Chief Compliance Officer, 3/2020–6/2020
- Financial Industry Regulatory Authority (FINRA), Senior Advisor, 12/2015–1/2020
- Alta Rock Global, Managing Partner, 6/2012–12/2015
- Pritchard Capital, Senior Managing Director, 5/2010–6/2012

## ITEM 3 DISCIPLINARY INFORMATION

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. Mendez has no required disclosures under this item.

## ITEM 4 OTHER BUSINESS ACTIVITIES

Mr. Mendez is a Registered Representative and the Chief Executive Officer and Chief Compliance Officer of the firm's affiliated broker dealer, Mondeum Capital, LLC. In his capacity, Mr. Mendez will be indirectly compensated for any securities or products offered by Mondeum Capital, LLC. This presents a conflict of interest because Mr. Mendez may have an incentive to recommend brokerage products to you for which he may be indirectly compensated, rather than solely based on your needs. However, you are under no obligation, contractually or otherwise, to purchase brokerage products through any person affiliated with our firm.

Clients are not obligated to implement any recommendation provided by Mr. Mendez. Neither Mondeum Wealth Advisors, LLC (the Advisor Firm) nor Mr. Mendez will earn ongoing investment advisory fees in connection with any products or services implemented in Mr. Mendez's separate capacity as a registered representative.

Mr. Mendez is a Board Member of Aseare Distribution, LLC, a generic pharmaceutical distributor. Mr. Mendez's duties as Board Member of Aseare Distribution, LLC do not create a conflict of interest to his provision of advisory services through Mondeum Wealth Advisors, LLC.

## ITEM 5 ADDITIONAL COMPENSATION

Refer to the *Other Business Activities* section above for disclosures on Mr. Mendez's receipt of additional compensation as a result of his other business activities.

Also, refer to the *Fees and Compensation, Client Referrals and Other Compensation, and Other Financial Industry Activities and Affiliations* section(s) of Mondeum Wealth Advisors, LLC's firm brochure for additional disclosures on this topic.

## ITEM 6 SUPERVISION

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Mondeum Wealth Advisors, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.

My supervisor is: Preston W. Haxo, Chief Compliance Officer

Supervisor phone number: 305-921-9412

## ITEM 7 REQUIREMENTS FOR STATE REGISTERED ADVISERS

Mr. Mendez does not have any reportable arbitration claims, has not been found liable in a reportable civil, self-regulatory organization or administrative proceeding, and has not been the subject of a bankruptcy petition.

999 Brickell Avenue, Suite 900  
Miami, Florida 33131

[info@mondeumwealth.com](mailto:info@mondeumwealth.com)  
1-833-781-6336

*Where possible begins.*