



# FORM ADV PART 2B BROCHURE SUPPLEMENT

January 25, 2021

Mondeum Wealth Advisors, LLC

**Emilio Sosa**

This brochure supplement provides information about Mr. Sosa 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 Mr. Sosa (CRD # 7328313) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## ITEM 2 EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

### Emilio Sosa

*Year of Birth:* 1986

*Formal Education After High School:*

- Instituto Tecnológico Autónomo de México, Bachelor of Economics, 2009

*Business Background:*

- Mondeum Wealth Advisors, LLC, Investment Adviser Representative, 12/2020 – Present
- Nuclo Asset Management, Chief Investment Officer, 3/2019 – Present
- Nuclo Consulting, Chief Investment Officer, 3/2019 – Present
- Tresalia Capital, Head of Asset Management, 11/2009 – 3/2019
- Secretaría de Hacienda y Crédito Público, Deputy Director, 8/2007 – 11/2009

*Certifications:* CFA

The Chartered Financial Analyst (CFA®) and Certification Mark (collectively, the “CFA marks”) are professional certification marks granted in the United States and internationally by the CFA Institute.

The Chartered Financial Analyst® (CFA®) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

There are currently more than 150,000 CFA charterholders working in more than 140 countries. To earn the CFA charter, candidates must: 1) pass three sequential, six-hour examinations; 2) have at least four years of qualified professional investment experience; 3) join CFA Institute as members; and 4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

### High Ethical Standards

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to:

- Place their clients' interests ahead of their own;
- Maintain independence and objectivity;
- Act with integrity;
- Maintain and improve their professional competence; and
- Disclose conflicts of interest and legal matters.

### Global Recognition

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA charterholders—often making the charter a prerequisite for employment.

Additionally, regulatory bodies in over 30 countries and territories recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 125 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

### Comprehensive and Current Knowledge

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession. To learn more about the CFA charter, visit [www.cfainstitute.org](http://www.cfainstitute.org).

### 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. Sosa has no required disclosures under this item.

### ITEM 4 OTHER BUSINESS ACTIVITIES

Mr. Sosa is a Chief Investment Officer of Nuclo Asset Management and Nuclo Consulting, affiliated companies based in Mexico that provide outsourced investment services to family offices. In this capacity, Mr. Sosa receives compensation from service fees. This presents a conflict of interest because Mr. Sosa may have an incentive to recommend the services of Nuclo Asset Management, however clients will not pay additional fees for the services by Nuclo Asset Management and services will only be provided to those clients if and when suitable.

### ITEM 5 ADDITIONAL COMPENSATION

Refer to the *Other Business Activities* section above for disclosures on Mr. Sosa'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: John A. Mendez, Chief Executive Officer

Supervisor phone number: 305-921-9256

### ITEM 7 REQUIREMENTS FOR STATE REGISTERED ADVISERS

Mr. Sosa 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.

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*Where possible begins.*