

**Item 1 – Cover Page**



Registered as WIN TEAM INSURANCE SERVICES, INC.

Corporate Headquarters:

**560 Wald**

**Irvine, CA 92618**

**949-336-7300**

**Brochure Date: March 14, 2022**

This Brochure provides information about the qualifications and business practices of WIN TEAM Advisory Services. WIN TEAM Advisory Services is a Registered Investment Advisor (Investment Advisor). Registration of an Investment Advisor does not imply any level of skill or training. The oral and/or written communications of an Investment Advisor provide you with information you may use to determine to retain an Investment Advisor.

The information in this Brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority. If you have any questions about the contents of this Brochure, please contact us at 949-336-7300.

## **Item 2 – Material Changes**

WIN TEAM Advisory Services' last annual amendment to ADV Part 2 was dated February 22, 2021; there have been no material changes since that time. Pursuant to SEC Rules WIN TEAM Advisory Services will ensure clients receive a summary of material changes to this brochure should they occur. Additionally WIN TEAM Advisory Services will make an annual offering to clients to receive a copy of this brochure in its entirety.

Currently, our brochure may be requested by contacting David W. Crist, President and Chief Compliance Officer, at 949-336-7300 or [david.crist@jwcemail.com](mailto:david.crist@jwcemail.com).

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## **Item 4 – Advisory Business**

WIN TEAM Advisory Services (WTAS) was established on April 25, 2001 and has been in business continuously thereafter. WTAS offers specially tailored advisory services to individuals preparing for and throughout their golden years. While all types of clients are welcomed with open arms, WTAS prides itself in striving to aid the diligent client who looks to achieve financial security after a lifetime of hard work. With our customized asset allocation and sector rotation strategies combined with choosing investment products of the highest regard, we believe we offer our clients the peace of mind they seek in placing their livelihood with us.

We take into account our clients' investment goals and needs when recommending any advisory product or service and will gather personal information in order to help select such products or services. The information requested/collected may include:

- Investing experience
- Liquidity requirements
- Retirement goals
- Current financial situation and future needs
- Annual income
- Ability to withstand loss of principal
- Ability to withstand market fluctuations

Clients should contact their Advisory Representative any time the above information changes so he/she can review existing accounts to see if any changes need to be made.

### **Principal Officers**

WTAS' Principal Owner is David W. Crist. David has worked in the financial service industry since 1985.

### **Advisory Activities**

#### **I. Financial Planning Services**

WTAS may conduct consultations, for a fee, with clients who require a financial plan. Recommendations on life, disability, and long-term care insurance, investment needs, retirement income, and estate planning may be provided based on individual client objectives; clients may elect a comprehensive financial plan or individual components as needed.

#### **II. Asset Management Services**

WTAS may provide, in varying degrees, Investment Supervisory Services or Asset Management Services as determined by the client's needs. Investment Supervisory Services include providing continuous investment advice to a client or making investments for the client based on the individual needs of the client while Management Services include portfolio management in which

the Advisor usually does not consider the overall financial circumstances of the client before purchasing or selling a security, rather focusing on meeting the client's specific investment objectives.

Advisory Representatives may create customized asset allocation models and utilize sector rotation strategies based on current market conditions and their future expectations. Sectors and commodities may be added and removed as deemed necessary, in accordance with our economic outlook and investment philosophy. Selection of asset classes or sectors and commodities is not a perfect science and performance is not guaranteed.

*Assets Under Management:* As of 12/31/2021 WTAS had assets under management totaling \$141,848,435.00; of which \$40,258,463.00 is managed on a discretionary basis through the Advisory Representative's affiliation with J.W. Cole Advisors, Inc. and \$101,848,435.00 is managed on a limited-discretionary basis.

Discretionary authority allows Advisory Representatives of WTAS, through their affiliation with J.W. Cole Advisors, Inc. to determine the types of securities to buy, sell, or hold, the amounts of said securities to buy, sell, or hold and the timing of such execution.

Limited-discretionary authority allows Advisory Representatives of WTAS to select securities from a list of options made available by the custodian(s) chosen by the client and WTAS. WTAS will also determine the amount to buy, sell, or hold and the timing of such execution.

## **Item 5 – Fees and Compensation**

Standard Fees for *Financial Planning Services* are as follows:

<b><u>Gross Income</u></b>	<b><u>Or Net Worth</u></b>	<b><u>Fees</u></b>
\$000,000 - \$100,000	\$100,000 - \$200,000	\$3,000
\$100,001 - \$125,000	\$200,001 - \$400,000	\$4,000
\$125,001 - \$150,000	\$400,001 - \$750,000	\$5,000
\$150,001 - \$200,000	\$750,001 - \$1,000,000	\$6,000
\$200,001 - \$300,000	\$1,000,001 - \$2,000,000	\$7,000
Above \$300,000	Above \$2,000,00	Negotiable

The above fees are a minimum for Financial Planning Services. Fees are determined by the greater of the gross income or net worth stated. Net worth does not include primary residence, personal property, or automobiles. The above fees are not based on capital gains or asset appreciation of an investment portfolio.

Clients may be subject to additional hourly rates as follows: \$350.00 hourly rate for senior financial planners, \$225.00 hourly rate for financial planners, \$125.00 hourly rate for professional staff, \$75.00 hourly rate for para-planners, \$60.00 hourly rate for computer consultation, and \$50.00 hourly rate for support staff.

For Financial Planning a retainer equal to 50% of the fee is due to the Advisor at the conclusion of the initial interview with the remaining 50% due upon delivery of the plan to the client. A retainer paid is refundable on the basis of prorating for services not rendered.

The client may terminate within five (5) days of signing the client contract without any penalty. Thereafter either party may terminate the agreement upon thirty (30) days notice. Any fees which have not been earned as of the effective date of termination may be refunded.

While the fee structure outlined above reflects our standard rates, all are negotiable based on the overall relationship between the client and the Advisor.

Standard Annual Fees for ***Asset Management Services*** of the products listed below are as follows:

Mutual Funds, Variable Annuity subaccounts, Variable Universal Life Insurance subaccounts, Stocks, Bonds, Etc.

<u>Rate</u>	<u>Assets Under Management</u>
1.50% for amounts between	\$0 to \$500,000
1.25% for amounts between	\$500,001 to \$1,500,000
1.10% for amounts between	\$1,500,001 to \$3,500,000
0.80% for amounts between	\$3,500,001 to \$6,500,000
0.70% for amounts between	\$6,500,001 to \$10,000,000
Negotiable on:	\$10,000,001 or more

Standard Annual Fees for ***Asset Management Services*** of the products listed below are as follows:

I. General Asset Management Services

WTAS will generally invoice its fees on a quarterly basis. Clients may elect to be invoiced directly for fees or may grant WTAS authority to directly debit fees from their managed accounts.

It is the responsibility of the client to verify the accuracy of any fee calculations, and the custodian will not determine whether the fee is properly calculated; should the client find an error, we urge them to contact their Advisory Representative immediately. Invoices provided will include the dollar amount of the fee, the value of the client's assets upon which the fee was based, and the specific manner in which the fee was calculated. Fees are calculated based on the ending account balance of the previous calendar quarter and shall not be prorated for each capital contribution or withdrawal made during the applicable calendar quarter.

Advisory Representatives are Registered Representatives of J.W. Cole Financial, Inc. and may execute of securities transactions on a normal and customary commission basis; advisory fees are not reduced to off-set such commissions. Any commissions that may occur are fully disclosed to

the client; because of this dual-relationship a conflict of interest exists between the Advisory Representative and the interests of the client.

In addition, it should be noted that clients are not obligated to use J.W. Cole Financial, Inc. or the associates in his/her capacity as Registered Representatives of J.W. Cole Financial, Inc. to execute any securities transactions. Clients have the option to purchase investment products as recommended by the Advisor through other brokers or agents not affiliated with WTAS.

The client may terminate within five (5) days of signing the client contract without any penalty. Thereafter either party may terminate the agreement upon thirty (30) days notice. Any fees which have not been earned as of the effective date of termination may be refunded.

## **II. AssetMark Asset Management Services**

AssetMark will be granted authority to deduct fees from client accounts at the outset of the relationship. It is the responsibility of the client to verify the accuracy of any fee calculations; should the client find an error, we urge them to contact their Advisory Representative immediately. Invoices provided by AssetMark will include the dollar amount of the fee, the value of the client's assets upon which the fee was based, and the specific manner in which the fee was calculated.

Client fees are payable quarterly, in advance, based on assets under management using the AssetMark Asset Management Services fee schedule as applicable to the specific platform selected. Fees are calculated based on the ending account balance of the previous calendar quarter.

Clients may terminate AssetMark Asset Management Services accounts at any time and receive a full pro-rata refund of any unearned fees.

## **Item 6 – Performance-Based Fees**

WTAS' Advisory Representatives are not permitted to charge fees based solely on client account performance or investment gains.

## **Item 7 – Types of Clients**

WTAS provides advisory services to individuals preparing for and in their golden years.

The minimum investment required for the WTAS platform(s) depends upon the client's account value and is generally \$50,000 for Mutual Funds, Variable Annuity, Variable Universal Life Insurance, Stocks, Bonds, Etc. Accounts below the stated minimums may be accepted on an individual basis at the discretion of the Chief Compliance Officer.

## **Item 8 – Methods of Analysis, Investment Strategies and Risk of Loss**

### **I. Method of Analysis**

The Client acknowledges that the Advisor obtains information from a wide variety of publicly available sources and that the Advisor has no sources to, and does not claim to have sources to inside or private information. The recommendations developed by Advisory Representatives are based upon the professional judgment of the Advisory Representative; Advisory Representatives cannot guarantee the results of any of their recommendations.

### **II. Investment Strategy**

Investment strategies used by the Advisory Representative seek an absolute real rate of return within reasonable levels of risk by utilizing both non-customizable investment strategies and customizable investment strategies based on client risk profile and other factors. These strategies may or may not be diversified amongst all the various investment options at the Advisory Representative's disposal. Investment choices and selections will be made in accordance with the Advisory Representative's view of current economic, political, and market trend conditions. The actual percentages and weightings within the portfolio will reflect these views.

### **III. Risk of Loss**

Investing in securities involves risk of loss that clients should be prepared to bear. Risk tolerances and the ability to withstand short and intermediate-term volatility will be considered. To achieve the stated investment objectives, clients understand the possibility of, and are willing to tolerate substantial declines in portfolio value as well as declines in the value of the individual assets selected from time to time.

## **Item 9 – Disciplinary Information**

Registered investment advisors are required to disclose all material facts regarding any legal or disciplinary events that would be material to a client's evaluation of WTAS or the integrity of WTAS' management. WTAS has no information applicable to this Item.

## **Item 10 – Other Financial Industry Activities and Affiliations**

Advisory Representatives are Registered Representatives of J.W. Cole Financial, Inc. and may also act as Investment Advisors of J.W. Cole Advisors, Inc. Registered Investment Advisory. Advisory Representatives may represent advisory clients as Registered Representatives in the execution of securities transactions on a normal and customary commission basis. Such commissions as may occur are fully disclosed to the client. Only securities approved by the affiliated Broker/Dealer are offered to clients.



WIN TEAM Advisory Services is a dba of WIN TEAM INSURANCE SERVICES, INC., a licensed insurance agency with the State of California. CA License # 0B11911.

## **Item 11 – Code of Ethics**

WTAS has adopted a Code of Ethics for all partners, officers, directors, employees, or Advisory Representatives of WTAS, otherwise known as Covered Persons. In the Code of Ethics our high standard of business conduct and fiduciary duty to clients is described. The Code of Ethics includes provisions relating to the confidentiality of client information, a prohibition on insider trading, restrictions on the acceptance of significant gifts, and the reporting of certain gifts and business entertainment items, and personal securities trading procedures, among other things. All Covered Persons at WTAS must acknowledge the terms of the Code of Ethics at the time of their affiliation and as amended, or annually, at a minimum.

WTAS anticipates that, in appropriate circumstances, consistent with clients' investment objectives, it will allocate positions in accounts over which WTAS has management authority, and will recommend to investment advisory clients or prospective clients, the purchase or sale of securities in which WTAS, its affiliates and/or clients, directly or indirectly, have a position or interest. WTAS' Covered Persons are required to act in accordance with the WTAS' Code of Ethics. Subject to satisfying this policy and applicable laws, officers, directors, and employees of WTAS and its affiliates may trade for their own accounts in securities which are recommended to and/or purchased for WTAS' clients. The Code of Ethics is designed to assure that the personal securities transactions, activities, and interests of the Covered Persons of WTAS will not interfere with making decisions in the best interest of advisory clients or implementation of such decisions.

The Code of Ethics, in some circumstances, would permit Covered Persons to invest in the same securities as clients, therefore, there is a possibility that Covered Persons might benefit from market activity by a client in a security held by a Covered Person. Trading is monitored under the Code of Ethics to reasonably prevent conflicts of interest between WTAS and its clients.

At times, certain affiliated accounts may trade in the same securities with client accounts on an aggregated basis when consistent with WTAS' obligation of best execution. In such circumstances, the affiliated and client accounts will share commission costs equally and receive securities at a total average price. WTAS will retain records of the trade order (specifying each participating account) and its allocation, which will be completed prior to the entry of the aggregated order. Completed orders will be allocated as specified in the initial trade order. Partially filled orders will be allocated on a pro rata basis. Any exceptions will be explained on the order.

It is WTAS' policy that the firm will not affect any Principal or Agency cross securities transactions for client accounts. WTAS will also not cross trade between client accounts. Principal transactions are generally defined as transactions where an Advisor, acting as principal for its own account or the account of an affiliated Broker/Dealer, buys from or sells any security to any advisory client.

An Agency cross transaction is defined as a transaction where a person acts as an Advisory Representative in relation to a transaction in which the investment advisor, or any person controlled by or under common control with the investment advisor, acts as broker for both the advisory client and for another person on the other side of the transaction. Agency cross transactions may arise where an advisor is dually registered as a Broker/Dealer or has an affiliated Broker/Dealer.

WTAS' clients or prospective clients may request a copy of the Firm's Code of Ethics by contacting David W. Crist.

## **Item 12 – Brokerage Practices**

### **I. Broker/Dealer Affiliation**

It is not the practice of WTAS to recommend any specific Broker/Dealers, however Advisory Representatives of WTAS are Registered Representatives with J.W. Cole Financial, Inc., a registered Securities Broker/Dealer and member of FINRA. Because of this affiliation a conflict of interest exists between the Advisory Representative and the interests of the client.

Should the client wish to execute securities transactions through an individual Advisory Representative's affiliation as a Registered Representative of J.W. Cole Financial, Inc. the Registered Representative would execute the transaction through National Financial Services, the custodial firm partnered with J.W. Cole Financial, Inc. Registered Representatives would earn the usual and customary commissions.

In addition, it should be noted that clients are not obligated to use J.W. Cole Financial, Inc. or the associates in his/her capacity as Registered Representatives of J.W. Cole Financial, Inc. to execute any securities transactions. Clients have the option to purchase investment products as recommended by the Advisor through other brokers or agents not affiliated with WTAS.

### **II. Best Execution Practices**

As a result of WTAS' affiliation with J.W. Cole Financial, Inc. National Financial Services provides highly competitive rates as well as access to their technology platform. It is the obligation of WTAS to seek best execution on behalf of its clients and as such WTAS has developed a best execution review policy. In seeking best execution, the determinative factor is not solely the lowest possible commission cost but whether the transaction represents the best qualitative execution, taking into consideration the full range of a brokerage firm's services including the value of research provided, execution capability, commission rates, and responsiveness.

By directing brokerage to National Financial Services, clients may, at times, pay higher fees or transaction costs than those obtainable by other brokerage firms however, in most cases, we believe the rates to be discounted and reasonable. Generally, WTAS will not negotiate rates below those established by the executing Broker/Dealer for these types of directed brokerage accounts, unless we believe that such rates are unfair or unreasonable for the size and type of transaction.

WTAS believes that National Financial Services pays industry standard commissions on transactions they effect on our behalf. These commissions are reasonable and customary.

Transactions for each client account may be effected independently, however, Advisory Representatives should bunch or aggregate orders whenever possible to obtain best execution, negotiate more favorable commission rates, or to allocate equitably among our clients differences in prices and commission or other transaction costs. Under this procedure, transactions will be price-averaged and allocated among our clients in proportion to the purchase and sale orders placed for each client account on any given day.

Transactions in an asset management account by a third party manager will be executed through their Broker/Dealer or custodian. The responsibility for determining best execution for these transactions will lie with the third party manager.

### **Item 13 – Review of Accounts**

Through its Advisory Representatives, WTAS reviews each client's account(s). The Advisory Representative who introduces the client's account will service each account and communicate not less than once annually, and more frequently at the request of the client. It is the responsibility of the client to inform the Advisory Representative of any changes in their personal financial situation or investment objectives, any material changes to ownership interest or control of an account, or if the client wishes to impose any reasonable restrictions on the management of an account or modify existing restrictions.

### **Item 14 – Client Referrals and Other Compensation**

WTAS does not participate in referral-based compensation practices.

### **Item 15 – Custody**

WTAS does NOT maintain custody of clients' funds or securities. Clients receive at least quarterly statements from the broker dealer or other qualified custodian that holds and maintains client's investment assets. WTAS **strongly** urges its clients to carefully review such statements and compare such official custodial records to the financial statements that we may provide. Our statements may vary from custodial statements based on accounting procedures, reporting dates, or valuation methodologies of certain securities.

WTAS requires that any checks written by clients for investment purposes are made payable to the custodian of the account(s), **NOT** to WTAS or its Advisory Representatives.

### **Item 16 – Investment Discretion**

Advisory Representatives of WTAS may receive discretionary authority for accounts that are managed within the WTAS ETF/ETN/ETC platform executed through its affiliation with J.W. Cole Advisors, Inc. and TD Ameritrade. This authority is granted by clients at the outset of an advisory

relationship, it gives the Advisory Representative the authority to determine the amounts of securities to buy, sell, or hold and the timing of such execution. In all cases, such discretion is to be exercised in a manner consistent with the stated investment objectives for the particular client's account(s).

Advisory Representatives of WTAS receive limited discretionary authority for any and all other investments. Limited discretionary authority allows Advisory Representatives to make allocation changes from a predetermined set of available funds made available to the Advisory Representative by the respective custodians selected. This authority is given by the client at the outset of an advisory relationship.

When selecting securities and determining dollar amounts to be invested, WTAS observes the investment policies, limitations, and restrictions of the clients for whom it advises.

### **Item 17 – Voting Client Securities**

As a matter of Firm policy and practice, WTAS and its Advisory Representatives do not have any authority to, and do not, vote proxies on behalf of advisory clients. Clients retain the responsibility for receiving and voting proxies for any and all securities maintained in their portfolio. WTAS and its Advisory Representatives are permitted to aid clients in their completion of proxies they receive.

### **Item 18 – Financial Information**

Registered Investment Advisory Firms are required to provide clients and prospective clients with certain financial information or disclosures about their financial condition. WTAS has no financial commitments that impair its ability to meet contractual and fiduciary commitments to clients, and has not been the subject of any bankruptcy proceedings; should any such circumstance arise, WTAS will notify clients according to SEC guidelines.

### **Item 19 – Requirements for State-Registered Advisors**

WTAS is not a State-Registered Investment Advisor.



Registered as WIN TEAM INSURANCE SERVICES, INC.

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560 Wald  
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949-336-7300

Appendix Date: March 14, 2022

**Part 2A Appendix 1 of Form ADV: Wrap Fee Program Brochure**

WIN TEAM Advisory Services offers an asset allocation system known as WIN TEAM Advisory Services Platform (offered through AssetMark Asset Management Services.) This platform falls within the guidelines of a Wrap Fee Program. To meet disclosure requirements program brochures are provided to the Client prior to the account establishment as part of the application process. Brochures are made available to WIN TEAM Advisory Services by AssetMark. For greater detail on the program please reference WIN TEAM Advisory Services' ADV Part 2A, Item 5 or request a complete copy of the AssetMark Brochure from your Advisory Representative.

**Item 1- Cover Page**

David W. Crist



Registered as WIN TEAM INSURANCE SERVICES, INC.

Corporate Headquarters:

560 Wald  
Irvine, CA 92618  
949-336-7300

Brochure Date: March 14, 2022

This Brochure Supplement provides information about David W. Crist that supplements the WIN TEAM Advisory Services Brochure. You should have received a copy of that Brochure along with this supplement. Please contact David W. Crist if you did not receive WIN TEAM Advisory Services' Brochure or if you have any questions about the contents of this supplement.

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

**David W. Crist**

Year of Birth 1962

**Education**

AA, Cypress College, Cypress, California

California State University Fullerton, Fullerton, California

CFP, College for Financial Planning, Denver, CO

**Employment History**

2001 – Present: Owner and Advisory Representative, Win Team Advisory Services

2011 – Present: Owner, DWC Financial Services Inc.

2019 – Present: Branch Manager and Registered Representative, J.W. Cole Financial, Inc. and Advisory Representative, J.W. Cole Advisors, Inc.

2008 – 2019: DRP and Registered Representative, First Allied Securities, Inc.

### Designation Qualifications

CFP - Certified Financial Planner

Issued by: Certified Financial Planner Board of Standards, Inc.

Prerequisites/Experience Required: Candidate must meet the following requirements:

A bachelor's degree (or higher) from an accredited college or university, and

3 years of full-time personal financial planning experience or the equivalent part-time experience

Educational Requirements: Candidate must complete a CFP-board registered program, or hold one of the following:

- CPA
- ChFC
- Chartered Life Underwriter (CLU)
- CFA
- Ph.D. in business or economics
- Doctor of Business Administration
- Attorney's License

Examination Type: CFP Certification Examination

Continuing Education/Experience Requirements: 30 hours every two years

### **Item 3- Disciplinary Information**

Registered Investment Advisory Firms are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No information is applicable to this Item.

### **Item 4- Other Business Activities**

David W. Crist is a Registered Representative and Branch Manager of J.W. Cole Financial, Inc., a registered Broker/Dealer and an Advisory Representative of J.W. Cole Advisors, Inc., an SEC registered investment advisor.

### **Item 5- Additional Compensation**

David W. Crist does not receive any additional compensation in his capacity as an Advisory Representative of WIN TEAM Advisory Services other than as described in Part 2A of this brochure.

### **Item 6- Supervision**

WIN TEAM Advisory Services' Chief Compliance Officer supervises Investment Advisory activities in which Advisory Representatives engage. The Chief Compliance Officer reviews client risk tolerance, performance reports, and financial plans.



**Item 1- Cover Page**

Juan C. Mansilla



Registered as WIN TEAM INSURANCE SERVICES, INC.

Corporate Headquarters:

560 Wald

Irvine, CA 92618

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Brochure Date: March 14, 2022

This Brochure Supplement provides information about Juan C. Mansilla that supplements the WIN TEAM Advisory Services Brochure. You should have received a copy of that Brochure along with this supplement. Please contact David W. Crist if you did not receive WIN TEAM Advisory Services' Brochure or if you have any questions about the contents of this supplement.

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

**Juan C. Mansilla**

Year of Birth 1978

**Education**

BA, California State University Fullerton, Fullerton, CA

CFP, University of California Irvine, Irvine, CA

**Employment History**

2007 – Present: Owner NextGen Financial

2008 – Present: Advisory Representative, Win Team Advisory Services

2019 – Present: Registered Representative, J.W. Cole Financial, Inc. and Advisory Representative, J.W. Cole Advisors, Inc.

2008 – 2019: Registered Representative, First Allied Securities, Inc.

### Designation Qualifications

CFP - Certified Financial Planner

Issued by: Certified Financial Planner Board of Standards, Inc.

Prerequisites/Experience Required: Candidate must meet the following requirements:

A bachelor's degree (or higher) from an accredited college or university, and

3 years of full-time personal financial planning experience or the equivalent part-time experience

Educational Requirements: Candidate must complete a CFP-board registered program, or hold one of the following:

- CPA
- ChFC
- Chartered Life Underwriter (CLU)
- CFA
- Ph.D. in business or economics
- Doctor of Business Administration
- Attorney's License

Examination Type: CFP Certification Examination

Continuing Education/Experience Requirements: 30 hours every two years

### **Item 3- Disciplinary Information**

Registered Investment Advisory Firms are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No information is applicable to this Item.

### **Item 4- Other Business Activities**

Juan C. Mansilla is a Registered Representative of J.W. Cole Financial, Inc., a registered Broker/Dealer and an Advisory Representative of J.W. Cole Advisors, Inc., an SEC registered investment advisor.

### **Item 5- Additional Compensation**

Juan C. Mansilla does not receive any additional compensation in his capacity as an Advisory Representative of WIN TEAM Advisory Services other than as described in Part 2A of this brochure.

### **Item 6- Supervision**

WIN TEAM Advisory Services' Chief Compliance Officer supervises Investment Advisory activities in which Advisory Representatives engage. The Chief Compliance Officer reviews client risk tolerance, performance reports, and financial plans.

**Item 1- Cover Page**

**Brent R. Broaddus**



Registered as WIN TEAM INSURANCE SERVICES, INC.

Corporate Headquarters:

**560 Wald**

**Irvine, CA 92618**

**949-336-7300**

**Brochure Date: March 14, 2022**

This Brochure Supplement provides information about Brent R. Broaddus that supplements the WIN TEAM Advisory Services Brochure. You should have received a copy of that Brochure along with this supplement. Please contact David W. Crist if you did not receive WIN TEAM Advisory Services' Brochure or if you have any questions about the contents of this supplement.

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

**Brent R. Broaddus**

Year of Birth 1971

**Education**

BA, University California Santa Cruz, Santa Cruz, CA

**Employment History**

2009 – Present: Advisory Representative, Win Team Advisory Services

2019 – Present: Registered Representative, J.W. Cole Financial, Inc. and Advisory Representative, J.W. Cole Advisors, Inc.

2009 – 2019: Registered Representative and Advisory Representative, First Allied Securities, Inc.

### **Item 3- Disciplinary Information**

Registered Investment Advisory Firms are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No information is applicable to this Item.

### **Item 4- Other Business Activities**

Brent R. Broaddus is a Registered Representative of J.W. Cole Financial, Inc., a registered Broker/Dealer and an Advisory Representative of J.W. Cole Advisors, Inc., an SEC registered investment advisor.

### **Item 5- Additional Compensation**

Brent R. Broaddus does not receive any additional compensation in his capacity as an Advisory Representative of WIN TEAM Advisory Services other than as described in Part 2A of this brochure.

### **Item 6- Supervision**

WIN TEAM Advisory Services' Chief Compliance Officer supervises Investment Advisory activities in which Advisory Representatives engage. The Chief Compliance Officer reviews client risk tolerance, performance reports, and financial plans.