

Item 1: Cover Page
Part 2B of Form ADV: Brochure Supplement
March 2022

Vincent Charles Baroldi

Baroldi Gundersen Financial Advisors, LLC
27442 Portola Parkway, Suite 155
Foothill Ranch, CA 92610

Firm Contact:
Vincent Baroldi
Chief Compliance Officer

This brochure supplement provides information about Mr. Vincent Baroldi that supplements our brochure. You should have received a copy of that brochure. Please contact Mr. Vincent Baroldi if you did not receive Baroldi Gundersen Financial Advisors, LLC's brochure or if you have any questions about the contents of this supplement. Additional information about Mr. Baroldi is available on the SEC's website at www.adviserinfo.sec.gov by searching CRD #4784970.

Item 2: Educational Background & Business Experience

Vincent Charles Baroldi

Year of Birth: 1968

Educational Background:

- 1991: Cal State University Fullerton; Bachelor of Arts in Business/Accounting/Finance

Business Background:

- 11/2021 – Present Baroldi Gundersen Financial Advisors, LLC; President
- 07/2001 – Present Baroldi Gundersen, LLP; Managing Partner
- 09/2018 – 11/2021 Harvest Investment Services, LLC; Investment Adviser Representative
- 07/2001 – 12/2020 Baroldi & Associates, CPAs; President
- 04/2004 – 08/2018 Proequities, Inc.; Registered Representative

Exams, Licenses & Other Professional Designations:

- 2019: CA Insurance Licensed
- 2006: CA Department of Real Estate
- 2006: Series 65 Exam
- 2004: Series 6 Exam
- 2004: Series 63 Exam
- 1995: Certified Public Accountant

Certified Public Accountant (CPA):

CPAs are licensed and regulated by their state boards of accountancy. Experience and testing requirements for licensure as a CPA generally include minimum college education, minimum experience levels, and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of continuing professional education. Additionally, CPAs are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services.

Item 3: Disciplinary Information¹

There are no legal or disciplinary events material to the evaluation of Mr. Baroldi.

¹ Note: Our firm may, under certain circumstances, rebut the presumption that a disciplinary event is material. If an event is immaterial, we are not required to disclose it. When we review a legal or disciplinary event involving the advisor to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of advisor to the advisory function; (2) the nature of the infraction that led to the disciplinary event; (3) the severity of the disciplinary sanction; and (4) the time elapsed since the date of the disciplinary event. If we conclude that the materiality presumption has been overcome, we prepare and maintain a file memorandum of our determination in our records. We follow SEC rule 204-2(a)(14)(iii) and similar state rules.

Item 4: Other Business Activities

Mr. Baroldi is a licensed insurance agent. He may offer insurance products and receive customary fees as a result of insurance sales. A conflict of interest may arise as these insurance sales may create an incentive to recommend products based on the compensation earned. To mitigate this potential conflict, Mr. Baroldi, as a fiduciary, will act in the client's best interest.

Mr. Baroldi is a licensed real estate agent. As such, he may receive normal and customary fees associated with real estate transactions in their independent capacities. These services are separate from our firm's advisory services and are governed under a separate agreement. Clients are under no obligation to engage our representative for these and will not be actively solicited.

Mr. Baroldi is a Certified Public Accountant, and is an owner of Baroldi Gundersen, LLP. In such capacity, he may also provide income tax preparation or accounting services. These services are independent of our firm's financial planning and investment advisory services and are governed under a separate engagement agreement. Clients have the option of engaging our representative for tax preparation or accounting services, however, they are under no obligation to do so.

Item 5: Additional Compensation

Mr. Baroldi does not receive any other economic benefit for providing advisory services in addition to advisory fees.

Item 6: Supervision

Mr. Baroldi is the sole owner and Chief Compliance Officer and as such has no internal supervision placed over him. He is, however, bound by our firm's Code of Ethics.

Item 7: Requirements for State-Registered Advisers

Mr. Baroldi has not been involved in any arbitration claim alleging damages in excess of \$2,500. Furthermore, he has neither been involved in nor found liable in any civil, self-regulatory organization, or administrative proceeding nor has been the subject of any bankruptcy petitions.