

Item 1 - Cover Sheet

## BROCHURE SUPPLEMENT

Ricky D. Dunham

DWR Wealth Management, LLC

1884 The Alameda

San Jose, CA 95126

(408) 260-3040

February 7, 2023

This Brochure Supplement provides information about Ricky D. Dunham that supplements the DWR Wealth Management, LLC Brochure. You should have received a copy of that Brochure. Please contact D. Rex Rousselot, Managing Member at (408) 260-3058 or [rex@dunhamcpas.com](mailto:rex@dunhamcpas.com) if you did not receive DWR Wealth Management, LLC's Brochure or if you have any questions about the content of this supplement.

Additional information about Ricky D. Dunham is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). Mr. Dunham's CRD number is 4907746.

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### Item 2 - Educational Background and Business Experience

Ricky D. Dunham was born in 1966. He received a BS in Business Administration from California State University, Chico in 1989.

#### Employment Background

Employment Dates: 1/2005 - Present

Firm Name: DWR Wealth Management, LLC

Type of Business: Investment Advisor

Job Title & Duties: Managing Member/Investment Advisor Representative

Employment Dates: 9/1996 - Present

Firm Name: Dunham Associates CPAs, Inc. (formerly known as Dunham & Company Certified Public Accountancy Corp. and Dunham & Watkins Certified Public Accountancy Corporation)

Type of Business: CPA Firm

Job Title: President

#### Professional Designations

Certified Public Accountant (CPA) – 1995

Personal Financial Specialist (PFS) – 2006

Certified Public Accountants (CPAs) are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two year period or 120 hours over a three year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members 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. The vast majority of state boards of accountancy have adopted the AICPA's Code of Professional Conduct within their state accountancy laws or have created their own.

The Personal Financial Specialist (PFS) credential demonstrates that an individual has met the minimum education, experience and testing required of a CPA in addition to a minimum level of expertise in personal financial planning. To attain the PFS credential, a candidate must hold an unrevoked CPA license, fulfill 3,000 hours of personal financial planning business experience, complete 80 hours of personal financial planning CPE credits, pass a comprehensive financial planning exam and be an active member of the AICPA. A PFS credential holder is required to adhere to AICPA's Code of Professional Conduct, and is encouraged to follow AICPA's Statement on Responsibilities in Financial Planning Practice. To maintain their PFS credential, the recipient must complete 60 hours of financial planning CPE credits every three years. The PFS credential is administered through the AICPA.

### Item 3 - Disciplinary Information

Registered investment advisors are required to disclose any material facts regarding any legal or disciplinary actions that would be material to your evaluation of each investment advisor representative providing investment advice to you. There is no information of this type to report.

### Item 4 - Other Business Activities

Mr. Dunham is also the Managing Partner of Dunham Associates CPAs, Inc., an accounting firm. Mr. Dunham's clients may also be clients of Dunham Associates CPAs, Inc. Mr. Dunham expects to spend approximately 95% of his time working with accounting clients.

You are under no obligation to use the services of Dunham Associates CPAs, Inc. for any accounting or tax work recommended by Mr. Dunham.

### Item 5 - Additional Compensation

Mr. Dunham does not receive any economic benefit from any non-client for providing advisory services.

### Item 6 - Supervision

D. Rex Rousselot, Managing Member, is responsible for the supervision of Mr. Dunham. His telephone number is (408) 260-3058.