

**Item 1: Cover Page**  
**Part 2B of Form ADV: Brochure Supplement**  
**March 21, 2023**

**BRICKLEY**  
WEALTH MANAGEMENT

**Stephen Brickley**

**Brickley Wealth Management**  
**1900 O'Farrell Street, Suite 330**  
**San Mateo, CA 94403**  
**[www.BrickleyWealth.com](http://www.BrickleyWealth.com)**

**Firm Contact:**  
**Nathan Brickley**  
**Owner**

This brochure supplement provides information about Stephen Brickley that supplements our brochure. You should have received a copy of that brochure. Please contact Nathan Brickley if you did not receive Brickley Wealth Management's brochure or if you have any questions about the contents of this supplement. Additional information about Mr. Brickley is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD #3233791.

## Item 2: Educational Background & Business Experience

**Stephen Mark Brickley**

**Year of Birth:** 1956

**Educational Background:**

- 1981: Golden Gate University, BS in Accounting and Finance

**Business Background:**

- 05/2017 – Present      Brickley Wealth Management; Owner, Chief Compliance Officer & Investment Advisor
- 01/1985 – Present      Brickley & Company CPA, Inc; Owner & Certified Public Accountant
- 06/1999 – 06/2017      LPL Financial; Investment Advisor & Registered Representative

**Exams, Licenses & Other Professional Designations:**

- 1985: Certified Public Accountant (CPA)
- 2001: CA Life, Accident & Variable Insurance License
- 1999: Series 7 Exam
- 1999: Series 66 Exam

**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.

**CA Life, Accident & Variable Insurance License**

To obtain a California Insurance License, an individual must first complete a pre-licensing education course, which covers the basics of insurance, the legal and ethical responsibilities of an insurance agent, and California-specific insurance laws and regulations. After completing the course, the individual must pass a state-administered licensing exam.

Once licensed, the individual must meet certain continuing education (CE) requirements to keep the license active. California Insurance Licensees must complete 24 hours of CE every two years, including at least three hours in ethics training. The CE requirement is designed to ensure that licensed individuals stay current with industry developments and maintain a high level of professional competence.

In addition to CE requirements, California Insurance Licensees must comply with other state-specific regulations and laws governing insurance sales, including proper disclosure of policy terms, maintaining accurate records, and providing timely service to policyholders. Failure to comply with these regulations can result in disciplinary action, including fines, license suspension, or revocation.

### Series 7 Exam

The Series 7 exam, also known as the General Securities Representative Exam, is a licensing exam that financial professionals must pass to sell securities products.

To pass the Series 7 exam, financial professionals must demonstrate knowledge of a wide range of topics related to the securities industry, including investment products, securities markets, securities analysis, regulations, and ethical considerations. The exam is comprised of 125 multiple-choice questions, and candidates are given 3 hours and 45 minutes to complete the exam. The exam is administered by the Financial Industry Regulatory Authority (FINRA) and is designed to ensure that individuals who sell securities products to retail investors have the necessary knowledge and skills to do so competently and ethically.

To prepare for the Series 7 exam, financial professionals typically study a variety of materials, including textbooks, online courses, and practice exams. Many also participate in training programs provided by their employer or other organizations to help them prepare for the exam.

### Series 66 Exam

The Series 66 exam is a licensing exam that financial professionals must pass to become registered as both a securities agent and an investment advisor representative.

To pass the Series 66 exam, financial professionals must demonstrate knowledge of a range of topics related to the securities industry and investment advising, including investment products, securities markets, state and federal regulations, ethical considerations, and investment analysis. The exam is comprised of 100 multiple-choice questions, and candidates are given 2 hours and 30 minutes to complete the exam.

The exam is administered by the Financial Industry Regulatory Authority (FINRA) in conjunction with state securities regulators and is designed to ensure that individuals who provide investment advice to retail investors have the necessary knowledge and skills to do so competently and ethically. To prepare for the Series 66 exam, financial professionals typically study a variety of materials, including textbooks, online courses, and practice exams. Many also participate in training programs provided by their employer or other organizations to help them prepare for the exam. It's worth noting that the Series 66 exam is often taken in conjunction with the Series 7 exam, as the two exams together allow financial professionals to become fully registered to sell securities products and provide investment advice to retail investors.

## Item 3: Disciplinary Information<sup>1</sup>

There are no legal or disciplinary events material to the evaluation of Stephen Brickley.

<sup>1</sup> 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**

Stephen Brickley is the owner and a Certified Public Accountant with Brickley & Company CPA, Inc. 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.

Stephen Brickley is a licensed insurance agent/broker. He may offer insurance products and receive commissions 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, Stephen Brickley will act in the client's best interest.

#### **Item 5: Additional Compensation**

Stephen Brickley does not receive any other economic benefit for providing advisory services in addition to his salary and profit sharing from the advisory fees of the firm.

#### **Item 6: Supervision**

Nathan Brickley supervises and monitors Stephen Brickley's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Nathan Brickley if you have any questions about Stephen Brickley's brochure supplement at (650) 638-0111.

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**Firm Contact:**  
**Stephen Brickley**  
**Chief Compliance Officer**

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## Item 2: Educational Background & Business Experience

**Nathan George Brickley**

**Year of Birth:** 1991

### **Educational Background:**

- 2014: Santa Clara University, Bachelor of Science in Finance

### **Business Background:**

- 05/2017 – Present      Brickley Wealth Management; Owner & Investment Advisor
- 02/2015 – Present      Brickley & Company CPA, Inc; Owner & Certified Public Accountant
- 02/2015 – 06/2017      LPL Financial, LLC; Investment Advisor & Registered Representative

### **Exams, Licenses & Other Professional Designations:**

- 2016: CA Life & Variable Insurance License
- 2019: Certified Public Accountant (CPA)
- 2015: Series 7
- 2016: Series 66

### **CERTIFIED PUBLIC ACCOUNT (CPA)**

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### **CA Life & Variable Insurance License**

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To prepare for the Series 7 exam, financial professionals typically study a variety of materials, including textbooks, online courses, and practice exams. Many also participate in training programs provided by their employer or other organizations to help them prepare for the exam.

### Series 66 Exam

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It's worth noting that the Series 66 exam is often taken in conjunction with the Series 7 exam, as the two exams together allow financial professionals to become fully registered to sell securities products and provide investment advice to retail investors.

## Item 3: Disciplinary Information<sup>1</sup>

There are no legal or disciplinary events material to the evaluation of Nathan Brickley.

## Item 4: Other Business Activities

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Nathan Brickley is an owner and a Certified Public Accountant with Brickley & Company CPA, Inc. 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**

Nathan Brickley does not receive any other economic benefit for providing advisory services in addition to his salary and profit sharing from advisory fees of the firm.

### **Item 6: Supervision**

Stephen Brickley supervises and monitors Nathan Brickley's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Stephen Brickley if you have any questions about Nathan Brickley's brochure supplement at (650) 638-0111.



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**Aaron Brickley**

**Brickley Wealth Management**  
**1900 O'Farrell Street, Suite 330**  
**San Mateo, CA 94403**  
**[www.BrickleyWealth.com](http://www.BrickleyWealth.com)**

**Firm Contact:**  
**Stephen Brickley**  
**Chief Compliance Officer**

This brochure supplement provides information about Aaron Brickley that supplements our brochure. You should have received a copy of that brochure. Please contact Stephen Brickley if you did not receive Brickley Wealth Management's brochure or if you have any questions about the contents of this supplement. Additional information about Aaron Brickley is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD #5326096.

## Item 2: Educational Background & Business Experience

**Aaron Michael Brickley**

**Year of Birth:** 1985

### **Educational Background:**

- 2007: Loyola Marymount University, Bachelor in Business Administration

### **Business Background:**

- 05/2017 – Present      Brickley Wealth Management; Owner & Investment Advisor
- 04/2011 – 06/2017      LPL Financial, LLC; Investment Advisor & Registered Representative
- 06/2008 – 04/2011      UnionBanc Investment Services; Financial Advisor
- 07/2007 – 03/2008      Ameriprise Financial; Financial Advisor

### **Exams, Licenses & Other Professional Designations:**

- 2016: Certified Financial Planner, CFP®
- 2019: Certified Private Wealth Advisor, CPWA®
- 2007: Series 7
- 2007: Series 66

The CFP® certification is obtained by completing an advanced college-level course of study addressing the financial planning subject areas that the CFP® Board's studies have determined as necessary for the competent and professional delivery of financial planning services, a comprehensive certification exam and agreeing to be bound by the CFP® board's *Standard of Professional Conduct*. As a prerequisite, the individual must have a Bachelor's degree from a regionally accredited United States college or university (or foreign university equivalent) and have at least 3 years of full time financial planning experience (or equivalent measured at 2,000 hours per year). This designation requires 30 hours of continuing education every 2 years and renewing an agreement to be bound by the *Standards of Professional Conduct*.

The CPWA® designation signifies that an individual has met initial and on-going experience, ethical, education, and examination requirements for the professional designation, which is centered on private wealth management topics and strategies for high-net-worth clients. The designation is administered through The Investments & Wealth Institute ("IWI") formerly known as the Investment Management Consultants Association. Prerequisites for the CPWA® designation are a Bachelor's degree from an accredited college or university or one of the following designations or licenses: CIMA®, CIMC®, CFA®, CFP®, ChFC®, or CPA license; have an acceptable regulatory history as evidenced by FINRA Form U-4 or other regulatory requirements and five years of professional client-centered experience in financial services or a related industry. CPWA® designees have completed a rigorous educational process that includes self-study requirements, an in-class education component, and successful completion of a comprehensive examination. CPWA® designees are required to adhere to the institute's *Code of Professional Responsibility and Rules and Guidelines for Use of the Marks*. CPWA® designees must report 40 hours of continuing education credits, including two ethics hours, every 2 years to maintain the certification.

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It's worth noting that the Series 66 exam is often taken in conjunction with the Series 7 exam, as the two exams together allow financial professionals to become fully registered to sell securities products and provide investment advice to retail investors.

## Item 3: Disciplinary Information<sup>1</sup>

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## Item 4: Other Business Activities

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Aaron Brickley does not have any outside business activities to report.

### **Item 5: Additional Compensation**

Aaron Brickley does not receive any other economic benefit for providing advisory services in addition to his salary and profit sharing from the advisory fees of the firm.

### **Item 6: Supervision**

Stephen Brickley supervises and monitors Aaron Brickley's activities on a regular basis to ensure compliance with our firm's Code of Ethics. Please contact Stephen Brickley if you have any questions about Aaron Brickley's brochure supplement at (650) 638-0111.