



## Wealthspire Advisors LLC

### Part 2B Brochure Supplement

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December 31, 2025

This Brochure Supplement provides information about Registered Investment Advisor Representatives of Wealthspire Advisors LLC (“Wealthspire Advisors”). It supplements the accompanying Form ADV brochure. Please contact Wealthspire Advisors’ Chief Compliance Officer at 414.509.1330 if you have any questions about the Form ADV brochure or this supplement, or if you would like to request additional or updated copies of either document.

Additional Information about each representative is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

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## **Eric Sontag, CFA®<sup>7</sup> Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Sontag was born in 1983. He received his Bachelor of Arts degree in Economics and Sociology, with distinction, from Cornell University in 2005.

Mr. Sontag worked at BlackRock from 2005 until 2009 in two different roles focused on investment risk analysis and reporting, first as a Financial Analyst with the Portfolio Analytics Group in New York and later as an Associate with the Transition Management Team in London. Mr. Sontag joined one of Wealthspire Advisors' predecessor firms, Sontag Advisory LLC, in November 2009. He served as its Chief Operating Officer beginning in 2011 and assumed the additional role of President in 2018.

Mr. Sontag holds the Chartered Financial Analyst® designation.

### **Disciplinary Information**

Mr. Sontag does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Sontag is the President of Wealthspire Advisors and its subsidiaries Advisors and its subsidiaries, separately registered investment advisors.

### **Additional Compensation**

Mr. Sontag does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Sontag's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Michael Del Priore Biographical Information**

**Branch Location:** 330 East Kilbourn, Suite 1219, Milwaukee, WI 53202

### **Educational Background and Business Experience**

Mr. Del Priore was born in 1981. He graduated from Loyola University Chicago in 2003 with a Bachelor of Business Administration degree in Information Systems.

Mr. Del Priore has more than 20 years' experience in the financial services industry. He began his career as a Clerk and then a Specialist at Rock Island Equity Market Services at the Chicago Stock Exchange. He then moved to the National Stock Exchange as a Market Analyst (2006-2007), an Examiner (2007-2010), and a Senior Examiner (2010-2013). Prior to joining Wealthspire Advisors' predecessor company, Bronfman Rothschild, Mr. Del Priore spent 2 years at Raymond James & Associates as a Compliance Analyst & Auditor and then 4 years at LPL as a Compliance, Legal & Risk Examiner. He joined Bronfman Rothschild in June 2018 in the Legal and Compliance Department, where he has held several roles with increasing responsibility – first as Associate Compliance Officer, then Director, Legal & Compliance, next as Vice President, Legal & Compliance, and finally as Managing Director, Chief Compliance Officer.

Mr. Del Priore has successfully passed the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Mr. Del Priore does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Del Priore is a Chief Compliance Officer and a Managing Director at Wealthspire Advisors and its subsidiaries, separately registered investment advisors.

### **Additional Compensation**

Mr. Del Priore does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors. Accordingly, Mr. Del Priore has or shares direct or indirect supervisory authority over all of the firm's advisory personnel, including himself.

## **Devanshu Amin, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Amin was born in 2001. He graduated from Indiana University - Kelley School of Business with a Bachelor of Science degree in Finance and Business Analytics in 2023.

Mr. Amin was an intern at Guidepoint from May 2021 through January 2022 and completed Wealthspire Advisors' Summer 2022 Intern program. Mr. Amin joined Wealthspire Advisors as an Advisor Associate in June 2023.

Mr. Amin has successfully passed the Series 65 Uniform Investment Adviser Law Examination and is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Mr. Amin does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Amin is currently an Advisor Associate with Wealthspire Advisors.

### **Additional Compensation**

Mr. Amin does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Amin's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Marc E. Austin, CFP<sup>®1</sup>, CPA<sup>4</sup> Biographical Information**

**Branch Location:** 29 South Main Street, West Hartford, CT 06107

### **Educational Background and Business Experience**

Mr. Austin was born in 1961. Mr. Austin received his bachelor's degree in Accounting from Quinnipiac University in 1983. Mr. Austin was a Financial Advisor with Sagemark Consulting, a division of Lincoln Financial Advisors Corporation, from 1998 through 2004. Mr. Austin was a Financial Advisor and Investment Advisor Representative with Private Capital Group, LLC (PCG) beginning in 2004. PCG was acquired in 2021 by Wealthspire Advisors, where Mr. Austin is a Senior Vice President and Advisor.

Mr. Austin is a CERTIFIED FINANCIAL PLANNER™ practitioner and a Certified Public Accountant. He has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Austin does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Austin is a Senior Vice President and Advisor at Wealthspire Advisors.

MegaMuffin, LLC. Mr. Austin, in his individual capacity, is a Member of MegaMuffin, LLC, an unaffiliated family partnership for which Mr. Austin manages asset positions for future use. Mr. Austin has no ownership interest in this entity and is not compensated for the services rendered to the entity. It is not expected that this activity would present any conflicts of interest related to the services provided by Mr. Austin or Wealthspire Advisors.

### **Additional Compensation**

Mr. Austin does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Mr. Allen's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Julie A. Back, CFP®1 Biographical Information**

**Branch Location:** 1700 Westlake Ave. N, Ste 325, Seattle, WA 98109

### **Educational Background and Business Experience**

Ms. Back was born in 1963. She received her Bachelor of Science degree in Business Administration from Central Washington University in 1992. Ms. Back was an Investment Advisor Representative and Registered Representative with Cetera Advisor Networks LLC formerly dba Financial Network Investment Corporation from October 1998 through March 2016. Ms. Back was a Principal Member and Investment Advisor Representative with Lakeview Financial Group, LLC from 2006 through December 2017, when Lakeview Financial Group, LLC was acquired by Private Ocean, LLC. Ms. Back served as an Advisor with Private Ocean, LLC from January 2018 through December 2021 when Private Ocean, LLC was acquired by Wealthspire Advisors. Ms. Back serves as a Senior Vice President and Advisor.

Ms. Back is a CERTIFIED FINANCIAL PLANNER™ practitioner. She has passed the Series 63 Uniform Securities Agent State Law Examination and the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Back does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Back is a Senior Vice President and Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Back does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Back's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Blake Barr, CFP®1 Biographical Information**

**Branch Location:** 1700 Westlake Ave. N, Ste 325, Seattle, WA 98109

### **Educational Background and Business Experience**

Mr. Barr was born in 1981. He received his Bachelor of Science degree in Business Administration from Western Oregon University in June 2007.

Mr. Barr was employed as an Investments and Financial Consultant Representative beginning in 2012 before joining Wealthspire Advisors as a Vice President and Advisor in June 2024.

Mr. Barr is a CERTIFIED FINANCIAL PLANNER™ practitioner. He has passed the Series 63 Uniform Securities Agent State Law Examination and the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Barr does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Barr is a Vice President and Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Barr does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Barr's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Laura Barry, CFP®<sup>1</sup>, CeFT®<sup>22</sup> Biographical Information**

**Branch Location:** 330 East Kilbourn, Suite 1219, Milwaukee, WI 53202

### **Educational Background and Business Experience**

Ms. Barry was born in 1964. She received her Bachelor of Science degree in Finance with a minor in Business Administration from Illinois State University in 1985.

Ms. Barry began her career as a Financial Analyst & Risk Manager at Allstate Insurance. She went on to gain experience in Advisor Channel Sales with Heartland Advisors, Inc., then served as an advisor for Liberty Financial Group and Legacy Wealth Management before becoming a Wealth Management Advisor for Baker Tilly Virchow Krause (“BTVK”) Wealth Management from 2004 to 2011. BTVK Wealth Management became Bronfman Rothschild, Wealthspire Advisors’ predecessor company, in 2011, and Ms. Barry has since advanced from her role of Director in 2011 to Managing Director, Wealth Management and Planning in April 2022.

Ms. Barry is a CERTIFIED FINANCIAL PLANNER™ practitioner and Certified Financial Transitionist® designations.

### **Disciplinary Information**

Ms. Barry does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Barry is a to Managing Director, Wealth Management and Planning with Wealth Advisory at Wealthspire Advisors.

### **Additional Compensation**

Ms. Barry does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Barry’s investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Camila Bentos Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Ms. Bentos was born in 2000. She graduated from Virginia Tech in 2022 with a Bachelor of Arts degree in Finance, CFP<sup>®</sup> Certification track.

Ms. Bentos began her career as a Financial Planning intern with Creative Planning (formerly Sullivan, Bruyette, Speros, and Blayney) in summer 2021. She joined Wealthspire Advisors in July 2022 as an Advisor Associate.

Ms. Bentos has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Bentos does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Bentos is an Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Ms. Bentos does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Bentos's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Jonathan (“Yoni”) Berhane, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Berhane was born in 1991. He received his Bachelor of Science degree in Finance in 2013 from the Virginia Tech.

Mr. Berhane worked with IFC Personal Money Managers from February 2014 to August 2016, first as a Paraplanner and later as an Associate Financial Planner. He joined Wealthspire Advisors’ predecessor company, Sontag Advisory LLC, in September 2016 as an Advisor Associate and was promoted to Senior Advisor Associate in June 2018 and Assistant Vice President in January 2020. In April 2022, Mr. Berhane was appointed Vice President, Advisor at Wealthspire Advisors.

Mr. Berhane is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Mr. Berhane does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Berhane is a Vice President at Wealthspire Advisors.

### **Additional Compensation**

Mr. Berhane does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Berhane’s investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **William Bockwoldt, CFP®<sup>1</sup>, CEPA®<sup>21</sup> Biographical Information**

**Branch Location:** 100 Smith Ranch Road, Ste 300, San Rafael, CA 94903

### **Educational Background and Business Experience**

Mr. Bockwoldt was born in 1967. Mr. Bockwoldt graduated from DeVRY Institute of Technology with a Bachelor of Science degree in Electrical Engineering Technology and University of California – Walter A. Haas School of Business with a Master of Business Administration degree.

Mr. Bockwoldt joined Private Ocean, LLC, in 2012 as an Advisor. Mr. Bockwoldt is the Founder and CEO of VIBATO, LLC, a software company specializing in corporate compliance solutions. Private Ocean, LLC was acquired by Wealthspire Advisors in January 2022. Mr. Bockwoldt is a Managing Director, Bay Area Office Lead with Wealthspire Advisors.

Mr. Bockwoldt is a CERTIFIED FINANCIAL PLANNER™ and CERTIFIED EXIT PLANNING ADVISOR™.

### **Disciplinary Information**

Mr. Bockwoldt does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Bockwoldt is a Managing Director, Bay Area Office Lead at Wealthspire Advisors.

### **Additional Compensation**

Mr. Bockwoldt does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Bockwoldt's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Madelyn “Maddy” Bowles, CFP®1 Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15th Floor, New York, NY 10175

### **Educational Background and Business Experience**

Ms. Bowles was born in 1996. She graduated from Lafayette College with a Bachelor of Arts degree in May 2018, majoring in Economics with a certificate in Finance and Policy & Analysis and a minor in Psychology. She also attended Boston University with a certificate in Financial Planning, CFP Course in January 2022. Ms. Bowles serves as a Vice President, Advisor at Wealthspire Advisors.

Ms. Bowles started her career at Bank of America Merrill Lynch Private Wealth Management as an intern from June 2017 – August 2017. In June 2018, she joined Wealthspire Advisors-acquired Firm Lenox Wealth Advisors, LLC as a Client Service Associate, then transitioning to a Wealth Associate. Ms. Bowles is an Assistant Vice President, Advisor.

Ms. Bowles is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Ms. Bowles does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Bowles is a Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Bowles does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Bowles's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Kevin Brady, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Brady was born in 1989. He received his Bachelor of Science degree in Accounting in 2011, followed by a Master of Arts degree in International Business in 2012, both from the University of Florida.

Mr. Brady began his career at HSBC for five years – first with the RBWM Graduate Development Program, then as a Senior Premier Relationship Officer, and finally as a Premier Relationship Advisor. He joined Wealthspire Advisors' predecessor company, Sontag Advisory LLC, in June 2018 as a Senior Advisor Associate and was promoted to Assistant Vice President in May 2020, where he helps clients with all aspects of wealth management including investments, insurance, retirement, tax, estate and financial planning. Mr. Brady is a Senior Vice President, Advisor at Wealthspire Advisors.

Mr. Brady is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Mr. Brady does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Brady is a Senior Vice President at Wealthspire Advisors.

### **Additional Compensation**

Mr. Brady does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Brady's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **T. Steven Branton, CFP<sup>®1</sup>, ADPA<sup>™24</sup> Biographical Information**

**Branch Location:** 343 Sansome Street, Suite 540, San Francisco, CA 94104

### **Educational Background and Business Experience**

Mr. Branton was born in 1974. Mr. Branton received his Bachelor of Arts degree in Economics and Latin American Studies from Tulane University in 1996.

Mr. Branton was a Senior Financial Planner with Mosaic Financial Partners from November 2011 through October 2018 when Mosaic Financial Partners was acquired by Private Ocean, LLC. Mr. Branton was an Advisor with Private Ocean, LLC from October 2018 through December 2021 when Private Ocean, LLC was acquired by Wealthspire Advisors in January 2022. Mr. Branton is a Managing Director, Advisor with Wealthspire Advisors.

Mr. Branton is a CERTIFIED FINANCIAL PLANNER<sup>™</sup>.

### **Disciplinary Information**

Mr. Branton does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Branton is a Managing Director, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Branton does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Branton's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Scott Brody Biographical Information**

**Branch Location:** 12435 Park Potomac Avenue, Suite 500, Potomac, MD 20854

### **Educational Background and Business Experience**

Mr. Brody was born in 1964. Mr. Brody received his Bachelor of Arts degree in Political Science and International Economics from the University of Vermont in 1986 and his Master of Business Administration from George Washington University in 1988.

Mr. Brody was a Wealth Advisor with Highline Wealth Management from April 2013 until the firm's acquisition by Wealthspire Advisors' predecessor company, Bronfman Rothschild, in August 2015, after which he served in the role of Director. He was also a Managing Principal of Alpha Capital Research, LLC from 2001 to 2019.

Mr. Brody has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Brody does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Brody is a Senior Vice President at Wealthspire Advisors.

### **Additional Compensation**

Mr. Brody does not receive additional economic benefit from any other third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Brody's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Nicholas Bussard, CFP<sup>®</sup> Biographical Information**

**Branch location:** 1700 Westlake Ave North, Suite 325, Seattle, WA

### **Educational Background and Business Experience**

Mr. Bussard was born in 1993. He received a Bachelor of Arts degree in Finance from Washington State University in June 2015.

Mr. Bussard started his career at Vestory as a Client Service Specialist in 2015. He joined Wealthspire Advisors predecessor firm Private Ocean LLC's predecessor firm Lakeview Financial Group as first a Client Service Representative, then a Paraplanner in 2016. He is a Senior Advisor Associate at Wealthspire Advisors.

Mr. Bussard is a CERTIFIED FINANCIAL PLANNER<sup>™</sup> practitioner.

### **Disciplinary Information**

Mr. Bussard does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Bussard is a Senior Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Mr. Bussard does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Bussard's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Amanda Campbell, CFP<sup>®1</sup>, AIF<sup>®11</sup>, CDFA<sup>®3</sup>, AAMS<sup>®17</sup> Biographical Information**

**Branch Location:** 8170 Maple Lawn Blvd., Suite 100, Fulton, MD 20759

### **Educational Background and Business Experience**

Ms. Campbell was born in 1988. She graduated from McDaniel College in 2010 with a Bachelor of Business Administration, a Bachelor of Economics, and a Bachelor of Accounting Economics with a Minor in Accounting.

Ms. Campbell joined Wealthspire Advisor-acquired firm Strategic Wealth Management, LLC dba StratWealth in 2010 as an Account Representative. During her tenure with the firm, she has held the roles of Associate Financial Planner, Director of Portfolio Management, Senior Advisor/Partner, and Director of Financial Planning. In March 2024, Ms. Campbell was appointed a Managing Director, Advisor with Wealthspire Advisors.

Ms. Campbell is a CERTIFIED FINANCIAL PLANNER<sup>™</sup> practitioner, an Accredited Investment Fiduciary<sup>®</sup> designee, a CERTIFIED DIVORCE FINANCIAL ANALYST<sup>®</sup> professional, and an ACCREDITED ASSET MANAGEMENT SPECIALIST<sup>SM</sup> professional.

### **Disciplinary Information**

Ms. Campbell does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Campbell is a Managing Director, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Campbell does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Campbell's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Stephanie Carmel, CFP<sup>®</sup><sup>1</sup>, CDFA<sup>®</sup><sup>3</sup> Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Ms. Carmel was born in 1956. She graduated from Northwestern University in 1978 with a Bachelor of Science in Communication Studies. She went on to earn her Master of Business Administration in Marketing and Economics from the University of Chicago Booth School of Business.

Prior to joining Wealthspire Advisors' predecessor company, Sontag Advisory LLC, in January 2020, Ms. Carmel spent over 20 years at IBM. While with IBM, she worked in multiple leadership roles, including Vice President of Americas Product Sales in the Systems Division (1998-2010), Vice President of Global Client Infrastructure – Client Sales (2010-2012), and Vice President of Global Sales Incentives – Quota Transformation and Operations (2012-2019). Ms. Carmel is a Vice President, Advisor with Wealthspire Advisors.

Ms. Carmel is a CERTIFIED FINANCIAL PLANNER<sup>™</sup> practitioner and a CERTIFIED DIVORCE FINANCIAL ANALYST<sup>®</sup> professional.

### **Disciplinary Information**

Ms. Carmel does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Carmel is a Vice President at Wealthspire Advisors.

### **Additional Compensation**

Ms. Carmel does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Carmel's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Spencer Carver Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Carver was born in 1999. He graduated from the Kelley School of Business at Indiana University with a Bachelor of Science degree in Finance.

Mr. Carver was a Financial Analyst Intern for Anvil Advisors during the summer of 2019, then worked as an Investment Banking Analyst at PricewaterhouseCoopers Corporate Finance LLC from August 2021 – October 2024. He joined Wealthspire Advisors in October 2024 as an Advisor Associate.

Mr. Carver has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Carver does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Carver is an Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Mr. Carver does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Carver's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Tyrone Clarke Biographical Information**

**Branch Location:** 3835 PGA Boulevard, Suite 1101, Palm Beach Gardens, FL 33410

### **Educational Background and Business Experience**

Mr. Clarke was born in 1998. He received his Bachelor of Science degree in Investment Management from Lynn University in 2020, and his MBA in Investment Management and Financial Valuation from Lynn University in 2021.

Mr. Clarke was an intern with Gilder Gagnon Howe & Co during the summer of 2020. He joined Wealthspire Advisors in October 2021 as a Client Service Associate and now serves as a Senior Advisor Associate.

Mr. Clarke has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Clarke does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Clarke is a Senior Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Mr. Clarke does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Clarke's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Samia L. Clookie, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 900 Bestgate Road, Suite 200, Annapolis, MD 21401

### **Educational Background and Business Experience**

Ms. Clookie was born in 1979. She graduated from Temple University with a Bachelor of Business Administration degree in Finance.

Ms. Clookie was a Senior Auditor and Subject Matter Expert in mortgage lending at PHH Mortgage Corporation prior to joining Wealthspire Advisors-acquired firm Strategic Wealth Management, LLC dba StratWealth in February 2016 as an Advisor Associate. Ms. Clookie now serves as an Assistant Vice President, Advisor with Wealthspire Advisors.

Ms. Clookie is a CERTIFIED FINANCIAL PLANNER™ practitioner. She has also passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Clookie does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Clookie is an Assistant Vice President, Advisor with Wealthspire Advisors.

### **Additional Compensation**

Ms. Clookie does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Clookie's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Justin Cone Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Cone was born in 1997. He graduated from Virginia Polytechnic Institute and State University with a Bachelor of Science degree in Finance.

Prior to joining Wealthspire Advisors, Mr. Cone worked as a Financial Representative Intern at Northwestern Mutual Investment Services (Summer 2016), a Program Assistant Intern at the Corporation for National and Community Service (Summer 2017), and an Asset Management Intern at Davenport Asset Management (Summer 2018). He also served as Lead Analyst in the Industrials Sector of the Virginia Tech Student-Managed Endowment for Educational Development. Mr. Cone is currently an Assistant Vice President, Advisor with Wealthspire Advisors.

Mr. Cone has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Cone does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Cone is an Assistant Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Cone does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Cone's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Ethan Copeland Biographical Information**

**Branch Location:** 12435 Park Potomac Avenue, Suite 500, Potomac, MD 20854

### **Educational Background and Business Experience**

Mr. Copeland was born in 2001. Mr. Copeland earned his Bachelor of Science, Sports and Recreation degree with minors in Entrepreneurship and Writing from James Madison University in May 2023.

Mr. Copeland was employed at Wasserman from June thru August 2023 as a Marketing Intern. He joined Alex Brown, a division of Raymond James, in January 2024 as a Financial Advisor. He joined Wealthspire Advisors in January 2025. Mr. Copeland is an Advisor Associate.

Mr. Copeland has passed the Series 7 General Securities Representative Exam and the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Mr. Copeland does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self- regulatory proceeding.

### **Other Business Activities**

Mr. Copeland is an Advisor Associate with Wealthspire Advisors.

### **Additional Compensation**

Mr. Copeland does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Copeland's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Adam P. Corder Biographical Information**

**Branch Location:** 900 Bestgate Road, Suite 200, Annapolis, MD 21401

### **Educational Background and Business Experience**

Mr. Corder was born in 1996. He earned his Bachelor of Arts degrees in Political Science and Cultural Anthropology (double majored) from University of Maryland, Baltimore County in 2019.

While pursuing his education, Mr. Corder held several positions including with the U.S. Census Bureau, as an Enumerator, the National Opinion Research Center, as a Contact Tracer, and an Assistant General Manager at Nordic Inn. Mr. Corder joined Wealthspire Advisors in June 2022. He is currently a Senior Advisor Associate.

Mr. Corder is a Financial Paraplanner Qualified Professional™ designee. He has also passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Corder does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Corder is an Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Mr. Corder does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Corder's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Crystal Cox, MBA, CFP®<sup>1</sup>, CDFA®<sup>3</sup> Biographical Information**

**Branch Location:** 10 Terrace Court, Suite 103, Madison, WI 53718

### **Educational Background and Business Experience**

Ms. Cox was born in 1989. She graduated from UW-Whitewater in 2012 with a Bachelor of Business Administration degree in Finance and in 2017 with a Master of Business Administration (M.B.A) degree.

Ms. Cox was a Registered Client Associate with UBS Financial Services from May 2012 to October 2014, and then a Financial Advisor with Wells Fargo Advisors from October 2014 to April 2017. She joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, in April 2017, as a Wealth Advisor. In April 2022, Ms. Cox was appointed Senior Vice President, Advisor at Wealthspire Advisors.

Ms. Cox is a CERTIFIED FINANCIAL PLANNER™ practitioner, and a CERTIFIED DIVORCE FINANCIAL ANALYST® designee. Ms. Cox has successfully passed the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Ms. Cox does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Cox is a Senior Vice President at Wealthspire Advisors.

### **Additional Compensation**

Ms. Cox does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Cox's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Anthony Cruz, CAIA<sup>27®</sup> Biographical Information**

**Branch Location:** 1 North Franklin Street, Suite 3330, Chicago, IL 60606

### **Educational Background and Business Experience**

Mr. Cruz was born in 1968. Mr. Cruz earned his Bachelor of Science in Business Administration, Finance degree from the University of Minnesota in 1991 and his MBA in Finance from Northwestern University in 2000.

Mr. Cruz joined Wealthspire Advisors-acquired firm Lenox Wealth Advisors, LLC in 1999 as a Wealth Advisor. Mr. Cruz is a Senior Vice President, Advisor at Wealthspire Advisors.

Mr. Cruz is a Charted Alternative Investment Analyst (CAIA®) and has passed the Series 65 Uniform Investment Advisors Law Examination.

### **Disciplinary Information**

Mr. Cruz does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Cruz is a Senior Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Cruz does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Cruz's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Jude Cypher Biographical Information**

**Branch Location:** 1405 Wesley Drive, Suite 32, Salisbury, MD 21801

### **Educational Background and Business Experience**

Mr. Cypher was born in 1998. Mr. Cypher received his Bachelor of Science degree in Business Administration – Finance, from the University of Tennessee Knoxville in 2020 and his Masters of Business Administration from Salisbury University in 2022.

Mr. Cypher was a Wealth Advisor with Highline Wealth Management from April 2013 until the firm's acquisition by Wealthspire Advisors' predecessor company, Bronfman Rothschild, in August 2015, after which he served in the role of Director. He was also a Managing Principal of Alpha Capital Research, LLC from 2001 to 2019.

Mr. Cypher has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Cypher does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Cypher is a Senior Vice President at Wealthspire Advisors.

### **Additional Compensation**

Mr. Cypher does not receive additional economic benefit from any other third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Cypher's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Jay Czarapata, CFP<sup>®1</sup>, CRPS<sup>®10</sup> Biographical Information**

**Branch Location:** 330 East Kilbourn, Suite 1219, Milwaukee, WI 53202

### **Educational Background and Business Experience**

Mr. Czarapata was born in 1977. Mr. Czarapata received his Bachelor of Administration degree in Finance with Financial Planning Emphasis, from University of Wisconsin-Whitewater in 1999. He also received a Certificate of Major in Accounting from University of Wisconsin-Milwaukee in 2003.

Mr. Czarapata was employed by SVA Plumb Financial as a Wealth Manager from March 2006 until he joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, in November 2011.

Mr. Czarapata holds the CERTIFIED FINANCIAL PLANNER<sup>™</sup> designation and a CHARTERED RETIREMENT PLANS SPECIALIST<sup>SM</sup> designee. He has also passed the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Mr. Czarapata does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Czarapata is a Senior Vice President at Wealthspire Advisors.

### **Additional Compensation**

Mr. Czarapata does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Czarapata's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Tatiana Dadykina, CFP<sup>®1</sup>, AIF<sup>®11</sup>, CDFA<sup>®3</sup> Biographical Information**

**Branch Location:** 900 Bestgate Road, Suite 200, Annapolis, MD 21401

### **Educational Background and Business Experience**

Ms. Dadykina was born in 1988. She graduated from Northeastern University in 2015 with a Bachelor of Science degree in Finance and Accounting Management and a Minor in Information Technology.

Ms. Dadykina joined Wealthspire Advisors-acquired firm Strategic Wealth Management, LLC dba StratWealth in June 2018 as a Nexit Strategist and Financial Resident. From November 2015 to June 2018, she was a Financial Consultant for AXA Advisors LLC.

Ms. Dadykina is a CERTIFIED FINANCIAL PLANNER™ practitioner, an Accredited Investment Fiduciary® designee, and a CERTIFIED DIVORCE FINANCIAL ANALYST® professional. She has also passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Dadykina does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Dadykina is an Assistant Vice President at Wealthspire Advisors.

### **Additional Compensation**

Ms. Dadykina does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Dadykina's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Connor Davis Biographical Information**

**Branch Location:** 8170 Maple Lawn Blvd., Suite 100, Fulton, MD 20759

### **Educational Background and Business Experience**

Mr. Davis was born in 2003. He received his Bachelor of Arts degree in Economics from Bucknell University in 2025.

Mr. Davis worked as an intern at Jones Lang Lasalle (summer 2023) and with Wealthspire Advisors (summer 2024). He joined Wealthspire Advisors as Advisor Associate in June 2025.

Mr. Davis has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Davis does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Davis is an Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Mr. Davis does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Davis's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Stephane de Brechard Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. de Brechard was born in 2002. He graduated from Wake Forest University with a Bachelor of Science degree in Finance in May 2024.

Mr. de Brechard completed the Wealthspire Advisors Summer Intern program in 2023. He joined Wealthspire Advisors in 2024 as an Advisor Associate.

Mr. Desmond has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. de Brechard does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. de Brechard is an Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Mr. de Brechard does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. de Brechard's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Michael Delgass Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Delgass was born in 1969. He graduated from Indiana University in 1992 with a Bachelor of Science degree in Geology and Biology, and a Bachelor of Arts degree in Chemistry. Mr. Delgass graduated from University of Chicago Law School in 1995 with a Juris Doctor.

Before joining Wealthspire Advisors' predecessor company, Sontag Advisory LLC, in 2005 as a Managing Director, Mr. Delgass was a partner at the prominent New York metro and New England law firms Cummings & Lockwood, LLC and then Day Berry & Howard, LLP (now Day Pitney, LLP). His practice expertise was in the areas of estate, tax, succession, asset protection and business planning. He is a former Adjunct Professor of Estate and Gift Taxation at Northwestern University School of Law, and a former faculty member of the National Trust School and National Graduate Trust School of the American Bankers Association.

Mr. Delgass has also successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Delgass does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Delgass is a Managing Director at Wealthspire Advisors.

### **Additional Compensation**

Mr. Delgass does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Delgass' investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Ryan deLeon Biographical Information**

**Branch Location:** 12435 Park Potomac Avenue, Suite 500, Potomac, MD 20854

### **Educational Background and Business Experience**

Mr. DeLeon was born in 2003. He received his Bachelor of Science degree in Finance from the University of Maryland, College Park in May 2025.

Mr. DeLeon worked as an intern at Franklin Templeton (summer 2023) and with Wealthspire Advisors (summer 2024). He joined Wealthspire Advisors as an Advisor Associate in June 2025.

Mr. DeLeon has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. DeLeon does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. DeLeon is an Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Mr. DeLeon does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. DeLeon's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Gary P. Desjardins, CFP<sup>®1</sup>, AIF<sup>®11</sup>, CRPS<sup>®10</sup>, CEP<sup>®18</sup> Biographical Information**

**Branch Location:** 1405 Wesley Drive, Suite 32, Salisbury, MD 21801

### **Educational Background and Business Experience**

Mr. Desjardins was born in 1965. He graduated from Salisbury State University in 1988 with a Bachelor of Science degree in Business Administration.

Mr. Desjardins was a Founder and Partner of Wealthspire Advisors-acquired firm Strategic Wealth Management, LLC dba StratWealth and has been a Registered Investment Advisor Representative of the firm since July 2002.

Mr. Desjardins is a CERTIFIED FINANCIAL PLANNER™ practitioner, an Accredited Investment Fiduciary® designee, a CHARTERED RETIREMENT PLANS SPECIALIST<sup>SM</sup> designee, and a Certified Estate Planner™ professional.

### **Disciplinary Information**

Mr. Desjardins does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Desjardins is a Managing Director, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Desjardins does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Desjardins' investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Liam Desmond, Biographical Information**

**Branch location:** 12435 Park Potomac Avenue, Suite 500, Potomac, MD 20854

### **Educational Background and Business Experience**

Mr. Desmond was born in 2002. He received his Bachelor of Science in Business (Financial Planning) from Virginia Tech in 2024, with a Minor in History.

Mr. Desmond completed the Wealthspire Advisors Summer Intern program in 2023. He joined Wealthspire Advisors in 2024 as an Advisor Associate.

Mr. Desmond has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Desmond does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Desmond is an Advisor Associate with Wealthspire Advisors.

### **Additional Compensation**

Mr. Desmond does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Desmond's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Justin N. deTray, CFP®1 Biographical Information**

**Branch Location:** 100 Smith Ranch Road, Ste 300, San Rafael, CA 94903

### **Educational Background and Business Experience**

Mr. deTray was born in 1973. Mr. deTray graduated from Columbia University in 1997 with a Bachelor of Arts degree in Physics.

From November of 2006 to June of 2010, Mr. deTray was a proprietary trader of Assent LLC. From June 2010 to March 2012, Mr. deTray was a registered representative of Avatar Securities, Inc. From March of 2012 to April of 2013, Mr. deTray was a registered administrator of Foothill Securities, Inc. From April of 2013 through December 2021, Mr. deTray was an Advisor with Private Ocean, LLC. when Private Ocean, LLC was acquired by Wealthspire Advisors in January 2022. Mr. deTray is a Managing Director and Advisor with Wealthspire Advisors.

Mr. deTray is a CERTIFIED FINANCIAL PLANNER™ practitioner. Mr. deTray has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. deTray does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. deTray is a Managing Director and Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. deTray does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. deTray's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Smriti (“Simi”) Dhall, CFP® Biographical Information**

**Branch location:** 343 Sansome Street, Suite 540, San Francisco, CA 94104

### **Educational Background and Business Experience**

Ms. Dhall was born in 1979. She received a bachelor’s degree in Business Administration with a concentration in International Business from the San Jose State University in May 2002.

Ms. Dhall was a Wealth Advisor at BluePointe Capital from March 2011 through March 2013. She then joined Peninsula Wealth as a Senior Relationship Manager from October 2013 through November 2015. Ms. Dhall joined Wealthspire Advisors-acquired firm Lenox Wealth Advisors, LLC as a Senior Vice President in August 2016. She is a Senior Vice President and Advisor at Wealthspire Advisors.

Ms. Dhall is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Ms. Dhall does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Dhall is a Senior Vice President, Advisor with Wealthspire Advisors.

### **Additional Compensation**

Ms. Dhall does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Dhall’s investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **David Dickman Biographical Information**

**Branch Location:** 12435 Park Potomac Avenue, Suite 500, Potomac, MD 20854

### **Educational Background and Business Experience**

Mr. Dickman was born in 1981. He graduated from the University of Delaware, Alfred Lerner College of Business & Economics in 2003 with a Bachelor of Science degree in Accounting and Economics and received his Master of Business Administration degree from Fordham University, Gabelli School of Business with a concentration in Finance and Accounting.

Mr. Dickman is a Managing Director, Advisor having joined the firm in September 2020. Mr. Dickman has more than 17 years of experience in the financial services industry. Prior to joining Wealthspire Advisors LLC, Mr. Dickman spent 6 years at Billings Capital Management leading all investor relations and business development efforts and 8 years at BBR Partners advising affluent clients and their families on investment and wealth management matters. Mr. Dickman began his career in financial services in the mutual fund accounting group at T. Rowe Price.

Mr. Dickman currently has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Dickman does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Dickman is a Managing Director, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Dickman does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Dickman's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Scott D. Dillie, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 11911 Freedom Drive, Suite 700, Reston, VA 20190

### **Educational Background and Business Experience**

Mr. Dillie was born in 1987. He graduated from Virginia Polytechnic Institute and State University with a Bachelor of Arts degree in Finance in 2009.

Mr. Dillie was a Financial Advisor with Northwestern Mutual Investment Services, LLC from August 2011 to December 2013 and he was also an Agent with Northwestern Mutual Insurance Company during that time. He was a Financial Advisor with Investment Professionals, Inc. from January 2014 to July 2016. Mr. Dillie was also a Wealth Advisor with Capital Fiduciary Advisors, LLC from January 2014 until May 2017. In May 2017, he joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, as a Wealth Advisor. In April 2022, Mr. Dillie was appointed Senior Vice President, Advisor at Wealthspire Advisors.

Mr. Dillie is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Mr. Dillie does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Dillie is a Senior Vice President at Wealthspire Advisors.

### **Additional Compensation**

Mr. Dillie does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Dillie's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Robin Dobbs, CFP® Biographical Information**

**Branch Location:** 12435 Park Potomac Avenue, Suite 500, Potomac, MD 20854

### **Educational Background and Business Experience**

Ms. Dobbs was born in 1983. She received her Bachelor of Science degree in Finance from the University of Florida in 2005.

Ms. Dobbs worked at Highline Wealth Management, LLC first as an Analyst from June 2008 to December 2011, then as a Senior Analyst from January 2012 to May 2014, and then as a Wealth Advisor from June 2014 to July 2015. She continued in this role following Highline's acquisition by Wealthspire Advisors' predecessor company, Bronfman Rothschild, in August 2015 and became a Senior Vice President in September 2019.

Ms. Dobbs is a CERTIFIED FINANCIAL PLANNER™ practitioner. Ms. Dobbs has also passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Dobbs does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Dobbs is a Senior Vice President, Wealth Advisory at Wealthspire Advisors.

### **Additional Compensation**

Ms. Dobbs does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Dobbs's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **John Dobson, CFP® Biographical Information**

**Branch Location:** 709B Milwaukee Street, Delafield, WI 53018

### **Educational Background and Business Experience**

Mr. Dobson was born in 1992. He received his Bachelor of Science degree in Financial Management, with a Minor in Mathematics, from the University of Upper Iowa in 2014.

Mr. Dobson was a Mutual Fund Specialist with US Bancorp from 2014 through 2016. He joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, in January 2017 as a Client Service Associate. Mr. Dobson currently serves as an Assistant Vice President, Advisor at Wealthspire Advisors.

Mr. Dobson is a CERTIFIED FINANCIAL PLANNER™ practitioner and has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Dobson does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Dobson is an Assistant Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Dobson does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Dobson's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Eric Dostal, J.D., CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Dostal was born in 1988. He is a 2010 graduate of the State University of New York College at Geneseo with a Bachelor of Arts, *magna cum laude*, in History. He received his Juris Doctorate, *cum laude*, from St. John's University School of Law in 2013.

Mr. Dostal joined one of the firm's predecessor companies, Sontag Advisory LLC, in 2013 and serves as an Advisor, helping clients with all aspects of wealth management including investments, insurance, retirement, tax, estate and financial planning. Mr. Dostal is a Managing Director, Advisor at Wealthspire Advisors.

Mr. Dostal is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Mr. Dostal does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Dostal is a Managing Director, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Dostal does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Dostal's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

# **Cindy Duan Biographical Information**

**Branch location:** 521 Fifth Ave, 15th Floor, New York, NY 10175

## **Educational Background and Business Experience**

Ms. Duan was born in 1993. She received her Bachelor of Arts degree in Economics from Princeton University in June 2015. She earned her Masters of Business Administration from The Wharton School, University of Pennsylvania in May 2020.

Ms. Duan began her career at ZS Associates as a Business Associate Consultant from August 2015 through May 2018. She then worked at GSK (GlaxoSmithKline) as an Esprit Commercial Pharmaceuticals Associate from May 2020 – May 2024. Ms. Duan joined Wealthspire Advisors in April 2025 and is currently an Advisor Associate.

Ms. Duan has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

## **Disciplinary Information**

Ms. Duan does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

## **Other Business Activities**

Ms. Duan is an Advisor Associate with Wealthspire Advisors.

## **Additional Compensation**

Ms. Duan does not receive any additional economic benefit from third parties for providing advisory services.

## **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Duan's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **David Edwards Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Edwards was born in 1961. He received his Bachelor of Arts degree from Hamilton College in History and Mathematics in 1983, and his Master in Business Administration from the University of Virginia, Darden Graduate School of Business in 1993.

Mr. Edwards began his career at Morgan Stanley & Co as a Senior Associate in 1984. From 1988 – 1992 he worked with JP Morgan Securities, first as a Management Consultant, then an Associate. In 1993 Mr. Edwards founded Heron Wealth, where he served as President, Chief Compliance Officer, and Wealth Advisor. Heron Wealth was acquired by Wealthspire Advisors in 2023, where Mr. Edwards serves as a Managing Director, Advisor.

### **Disciplinary Information**

Mr. Edwards does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Edwards is a Managing Director, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Edwards does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Edwards's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **James K. Eichelberger, CFP®<sup>1</sup>, AIF®<sup>11</sup> Biographical Information**

**Branch Location:** 900 Bestgate Road, Suite 200, Annapolis, MD 21401

### **Educational Background and Business Experience**

Mr. Eichelberger was born in 1959. He graduated from Elizabethtown College in 1982, with a Bachelor of Science degree in Business Administration.

Mr. Eichelberger was a Founding Partner and Chairman of Wealthspire Advisors-acquired firm Strategic Wealth Management, LLC dba StratWealth and has been a Registered Investment Advisor Representative of the firm since 2002.

Mr. Eichelberger is a CERTIFIED FINANCIAL PLANNER™ practitioner and an Accredited Investment Fiduciary® designee. He has also passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Eichelberger does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Eichelberger is a Managing Director, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Eichelberger does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Eichelberger's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Marianne Esche CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 11911 Freedom Drive, Suite 700, Reston, VA 20190

### **Educational Background and Business Experience**

Ms. Esche was born in 2000. She graduated from Virginia Polytechnic Institute and State University with a Bachelor of Science degree in Finance (CFP® Certification Education Option) in 2022.

While pursuing her education, Ms. Esche worked as a Financial Planning intern with Simplicity Wealth Management. She completed Wealthspire Advisors' Summer 2021 Intern program and joined Wealthspire Advisors in June 2022. She is currently a Senior Advisor Associate.

Ms. Esche is a CERTIFIED FINANCIAL PLANNER™ practitioner. Ms. Esche has also passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Esche does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Esche is a Senior Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Ms. Esche does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Esche's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Craig Fasano Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Fasano was born in 1973. He graduated from Rutgers University in 1996 with a Bachelor of Arts degree in Political Science, and from New York Law School in 1999 with a Juris Doctor.

Mr. Fasano joined Wealthspire Advisors' predecessor company, Sontag Advisory LLC, as an Investment Advisor Representative in April 2003. Prior to joining Sontag Advisory LLC, Mr. Fasano spent more than four years at U.S. Trust Company in the Wealth Consulting Group advising high net-worth individuals and families in all aspects of their wealth management.

### **Disciplinary Information**

Mr. Fasano does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Fasano is a Managing Director at Wealthspire Advisors.

### **Additional Compensation**

Mr. Fasano does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Fasano's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Samuel Fishelberg, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 521 Fifth Ave, 15th Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Fishelberg was born in 1988. Mr. Fishelberg graduated from University of California, Riverside in 2010, with a degree in Business Administration.

Mr. Fishelberg was with Mercer Allied Company, L.P. from 2011 – 2015. Mr. Fishelberg joined Goldman, Sachs & Co. in 2015. In 2017 Mr. Fishelberg was with M Holdings Securities, Inc until 2018 when he then joined UBS as a Financial Planner and Investment Manager for ultra-high net worth families/clients. Mr. Fishelberg joined Wealthspire Advisors-acquired firm Lenox Wealth Advisors, LLC in November 2019. Mr. Fishelberg is a Senior Vice President and Advisor at Wealthspire Advisors.

Mr. Fishelberg is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Mr. Fishelberg does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Fishelberg is a Senior Vice President and Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Fishelberg does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Fishelberg's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Keely Ford Biographical Information**

**Branch Location:** 100 Smith Ranch Rd, Ste 300, San Rafael, CA 94903

### **Educational Background and Business Experience**

Ms. Ford was born in 2003. Ms. Ford earned her Bachelor of Arts degree from the University of California, Berkeley in 2025 in Economics and Media Studies, with a concentration in Digital Studies.

Ms. Ford was a Wealth Management intern with Wealthspire Advisors (summer 2024). She joined Wealthspire Advisors in August 2025. Ms. Ford is an Advisor Associate.

Ms. Ford has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Ford does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Ford is an Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Ms. Ford does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Ford's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Amanda C. Fox, CFP<sup>®1</sup> Biographical Information**

**Branch Location:** 100 Smith Ranch Road, Ste 300, San Rafael, CA 94903

### **Educational Background and Business Experience**

Ms. Fox was born in 1975. Ms. Fox graduated from the University of Arizona with a Bachelor of Science degree in Plant Science and from Carnegie Mellon University with a Master of Business Administration degree. Ms. Fox also received a Certificate in Personal Financial Planning from the University of California, Berkeley.

From June 2013 through December 2013, Ms. Fox was a Director of Community & Marketing with Social Finance, Inc. From May 2014 through April 2016, Ms. Fox was a customer experience Strategist and Project Manager with MUFG Union Bank. Ms. Fox was an Advisor with Private Ocean, LLC from September 2017 through December 2021 when Private Ocean, LLC was acquired by Wealthspire Advisors. Ms. Fox is a Vice President and Advisor with Wealthspire Advisors.

Ms. Fox is a CERTIFIED FINANCIAL PLANNER<sup>™</sup> practitioner.

### **Disciplinary Information**

Ms. Fox does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Fox is a Vice President and Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Fox does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Fox's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Jay M. Frank, CFP®<sup>1</sup>, ChFC®<sup>8</sup>, CLU®<sup>9</sup> Biographical Information**

**Branch Location:** 709B Milwaukee Street, Delafield, WI 53018

### **Educational Background and Business Experience**

Mr. Frank was born in 1958. He graduated from the University of Illinois in 1979 with a Bachelor of Arts degree in Political Science with an area of concentration in Accounting. He was a student at the University of Chicago Committee on Public Policy Studies until 1981.

Mr. Frank was an Operations Manager with Integrated Financial Solutions from January 2002 to October 2004, then a Wealth Advisor with Principal Financial until October 2010. Starting in October 2010, he was employed with Lake Country Wealth Management as a Financial Services Professional until the firm was acquired by Wealthspire Advisors' predecessor company, Bronfman Rothschild, in April 2015. Mr. Frank is currently a Managing Director, Advisor with Wealthspire Advisors.

Mr. Frank is a CERTIFIED FINANCIAL PLANNER™ practitioner, a Chartered Financial Consultant® designee, and a Chartered Life Underwriter® professional. He has successfully passed the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Mr. Frank does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Frank is a Managing Director, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Frank does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Frank's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Joshua Frank CFP®1 Biographical Information**

**Branch Location:** 709B Milwaukee Street, Delafield, WI 53018

### **Educational Background and Business Experience**

Mr. Frank was born in 1988. He joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, in November 2017.

Prior to joining Bronfman Rothschild, Mr. Frank studied and taught Jewish Law, earning his First Talmudic Degree from Yeshiva Shaarei Torah of Rockland County, accredited by the Association of Advanced Rabbinical and Talmudic Schools (A.A.R.T.S.) in 2013. Mr. Frank is an Assistant Vice President, Advisor with Wealthspire Advisors.

Mr. Frank is a CERTIFIED FINANCIAL PLANNER™ practitioner. Mr. Frank has also successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Frank does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Frank is an Assistant Vice President, Advisor Wealthspire Advisors.

### **Additional Compensation**

Mr. Frank does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Frank's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Gregory H. Friedman, CFP® Biographical Information**

**Branch location:** 100 Smith Ranch Road, Ste 300, San Rafael, CA 94903

### **Educational Background and Business Experience**

Mr. Friedman was born in 1961. He received his Bachelor of Arts degree in Economics from the University of California at San Diego and his Master of Science degree in Financial Planning (emphasis in Taxation) from Golden Gate University, San Francisco.

Mr. Friedman founded Friedman & Associates, Inc. in 1991 and was a Registered Investment Advisor of the firm. Mr. Friedman served as President of Private Ocean, LLC, Friedman & Associates successor firm, from 2009 and Chief Executive Officer from 2012 through 2021. Private Ocean was acquired by Wealthspire Advisors in January 2022 where Mr. Friedman serves as Chief Strategy Officer.

Mr. Friedman is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Mr. Friedman does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Friedman is Chief Strategy Officer of Wealthspire Advisors.

### **Additional Compensation**

Mr. Friedman does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Friedman's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Pyper Friedman Biographical Information**

**Branch Location:** 11911 Freedom Drive, Suite 700, Reston, VA 20190

### **Educational Background and Business Experience**

Ms. Friedman was born in 2002. She received her Bachelor of Arts degree in Finance, with a concentration in Business Analytics from The College of William and Mary in May 2025.

Ms. Friedman worked with SCH Group as a summer 2024 intern in the Wealth Management Group. She joined Wealthspire Advisors as an Advisor Associate in June 2025.

Ms. Friedman has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Friedman does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Friedman is an Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Ms. Friedman does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Friedman's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Spencer Friedman Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Friedman was born in 1999. He received his Bachelor of Arts degree in Journalism from the University of Maryland in May 2022.

Mr. Friedman worked at Bank of America Merrill Lynch from October 2022 through July 2025 as an Assistant Vice President, Financial Solutions Advisor. He joined Wealthspire Advisors as an Advisor Associate in August 2025.

Mr. Friedman has passed the Series 7 General Securities Representative Exam and the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Mr. Friedman does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Friedman is an Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Mr. Friedman does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Friedman's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Joseph Garrison, CFP®<sup>1</sup>, AIF®<sup>11</sup> Biographical Information**

**Branch Location:** 8170 Maple Lawn Blvd., Suite 100, Fulton, MD 20759

### **Educational Background and Business Experience**

Mr. Garrison was born in 1977. He graduated from the Western Maryland College in 1999 with a Bachelor of Arts degree in Business Administration and Accounting.

Mr. Garrison joined Wealthspire Advisors-acquired firm Strategic Wealth Management, LLC dba StratWealth in October 1999 and worked as a Financial Planner and Director of Investment Research, then as a Managing Director and Advisor beginning April 2022.

Mr. Garrison is a CERTIFIED FINANCIAL PLANNER™ practitioner and an Accredited Investment Fiduciary® designee.

### **Disciplinary Information**

Mr. Garrison does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Garrison is a Managing Director and Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Garrison does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Garrison's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Anora Gaudiano, CFP®1 Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Ms. Gaudiano was born in 1977. She graduated from Pace University in 1999 with a Bachelor of Arts in Journalism. She also earned a Master of Science in Business Journalism, Business and Economics from Columbia University in 2012.

Ms. Gaudiano joined Wealthspire Advisors' predecessor company, Sontag Advisors LLC, in August 2018 as a Senior Advisor Associate. Prior to joining Wealthspire Advisors, she was a Markets Reporter for MarketWatch from December 2013 to August 2018. Ms. Gaudiano is currently a Vice President, Advisor with Wealthspire Advisors.

Ms. Gaudiano is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Ms. Gaudiano does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Gaudiano is a Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Gaudiano does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Gaudiano's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Zachary Gering, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Gering was born in 1987. He graduated from the Martin J. Whitman School of Management at Syracuse University in 2009 with a Bachelor of Science in Accounting and Finance.

Mr. Gering began his career as a Staff Accountant at accounting firm RMSB&G (now RotenbergMeril) before moving to Citco Fund Services as a Senior Analyst in November 2009. He joined Wealthspire Advisors' predecessor company, Sontag Advisory LLC, in February 2012 as a Director and Advisor, working with clients to develop and oversee investment, insurance, retirement, tax and estate planning strategies. In April 2022, Mr. Gering became a Managing Director and Advisor at Wealthspire Advisors.

Mr. Gering is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Mr. Gering does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Gering is a Managing Director and Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Gering does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Gering's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Jennifer Giemza, CFP®1 Biographical Information**

**Branch Location:** 10 Terrace Court, Suite 103, Madison, WI 53718

### **Educational Background and Business Experience**

Ms. Giemza was born in 1983. She graduated from the University of Wisconsin-Madison in 2006 with a Bachelor of Science degree in Consumer Science, with a concentration in Personal Finance.

Ms. Giemza was an Investment Advisor for Baker Tilly Investment Advisors, LP from 2007 to 2014, and began working as a Financial Advisor for BMO Harris Financial Advisors, Inc. in December 2014. She joined Wealthspire Advisors in February 2021 as a Vice President. Ms. Giemza now holds the title of Senior Vice President, Advisor.

Ms. Giemza is a CERTIFIED FINANCIAL PLANNER™ practitioner and has passed the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Ms. Giemza does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Giemza is a Senior Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Giemza does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Giemza's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Dillon Gorham Biographical Information**

**Branch Location:** 1 North Franklin Street, Suite 3330, Chicago, IL 60606

### **Educational Background and Business Experience**

Mr. Gorham was born in 1998. He received his bachelor's degree in economics with a minor in Business from Miami University in May 2020.

Mr. Gorham served as a Registered Representative with New York Life from July 2020 – May 2022 and joined Wealthspire Advisors in May 2022 as an Advisor Associate.

Mr. Gorham has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Gorham does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Gorham is an Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Mr. Gorham does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Gorham's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Eran Goudes, CFP®<sup>1</sup>, CFA®<sup>7</sup>, CPWA®<sup>6</sup> Biographical Information**

**Branch Location:** 11911 Freedom Drive, Suite 700, Reston, VA 20190

### **Educational Background and Business Experience**

Mr. Goudes was born in 1978. He graduated from The Hebrew University of Jerusalem in 2005 with a Bachelor of Arts degree in International Relations, Spanish and Latin American Studies, and completed his MBA in Finance and Investments from The George Washington University School of Business in 2009.

Mr. Goudes was a Portfolio Manager at West Financial Services from 2009 to 2012. He was a Portfolio Manager at SOL Capital Management Company from 2012 to 2018. He joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, in 2018 as an Advisor, Wealth Management. In April 2022, Mr. Goudes was appointed Senior Vice President, Advisor at Wealthspire Advisors.

Mr. Goudes is a CERTIFIED FINANCIAL PLANNER™ practitioner and holds the CHARTERED FINANCIAL ANALYST® designation, the CERTIFIED INVESTMENT MANAGEMENT ANALYST® professional and the CERTIFIED PRIVATE WEALTH ADVISOR® PRACTITIONER. He has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Goudes does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Goudes is a Senior Vice President at Wealthspire Advisors.

### **Additional Compensation**

Mr. Goudes does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Goudes' investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Lisa Graham, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 1700 Westlake Ave. N, Ste 325, Seattle, WA 98109

### **Educational Background and Business Experience**

Ms. Graham was born in 1986. She received her Bachelor of Arts degree in Music, with Topics in Business, from the University of Puget Sound in 2008.

Ms. Graham began her career as an Executive Assistant & Board Liaison with The 5<sup>th</sup> Avenue Theater from June 2009 – October 2013. She then was the Catering Sales Manager with Cedarbrook Lodge from November 2013 – March 2016. In June 2017, Ms. Graham joined Wells Fargo, beginning as a Relationship Associate in September 2017, and ending as a Financial Advisor in September 2022. Ms. Graham joined Wealthspire Advisors in November 2022 as an Assistant Vice President, Advisor.

Ms. Graham is a CERTIFIED FINANCIAL PLANNER™ practitioner. She has passed the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Ms. Graham does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Graham is an Assistant Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Graham does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Graham investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **James M. Griesser, CFP®<sup>1</sup>, AIF®<sup>11</sup> Biographical Information**

**Branch Location:** 900 Bestgate Road, Suite 200, Annapolis, MD 21401

### **Educational Background and Business Experience**

Mr. Griesser was born in 1963. He graduated from the University of Maryland with a Bachelor of Science degree in Business Management.

Mr. Griesser was a Founding Partner of Wealthspire Advisors-acquired firm Strategic Wealth Management, LLC dba StratWealth and has been a Registered Investment Advisor Representative of the firm since 2002.

Mr. Griesser is a CERTIFIED FINANCIAL PLANNER™ practitioner and an Accredited Investment Fiduciary® designee. He has also passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Griesser does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Griesser is a Managing Director, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Griesser does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Griesser's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Kirstin Griffin, CRPC®<sup>2</sup>, AIF®<sup>11</sup>, FPQP™<sup>20</sup> Biographical Information**

**Branch Location:** 110 Country Estates Circle, Reno, NV 89511

### **Educational Background and Business Experience**

Ms. Griffin was born in 1980. She graduated from the University of Nevada, Reno in 2004 with a Bachelor of Science, Supply Chain Management degree.

Ms. Griffin joined Wealthspire Advisor-acquired firm Sage Financial Advisors, Inc. in 2003 as the firm's director of client relations and investments. In January 2023, Ms. Griffin was appointed Vice President, Advisor at Wealthspire Advisors.

Ms. Griffin is a CHARTERED RETIREMENT PLANNING COUNSELOR<sup>SM</sup> professional, an Accredited Investment Fiduciary<sup>®</sup> professional, and a Financial Paraplanner Qualified Professional<sup>TM</sup> designee. She has also passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Griffin does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Griffin is a Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Griffin does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Griffin's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Robert A. Gryboski, Jr. Biographical Information**

**Branch Location:** 3835 PGA Blvd, Suite 1101, Palm Beach Gardens, FL 33410

### **Educational Background and Business Experience**

Mr. Gryboski was born in 1970. He earned his Bachelor of Arts degree in Political Science from Yale University in 1992.

Mr. Gryboski began his career at Sanford C. Bernstein & Co. where he served as a Director of Institutional Equity Sales from June 1997 – October 2008. In April 2010, he joined Sector & Sovereign Research, LLC as a partner until December 2013, when he transitioned to Buckingham Research Group, also as a partner until April 2017. Mr. Gryboski then worked as a Senior Financial Advisor at Merrill Lynch from July 2018 - June 2022. He joined Wealthspire Advisors in June 2022 as a Vice President and Advisor.

Mr. Gryboski has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Gryboski does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Gryboski is a Vice President and Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Gryboski does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Gryboski's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Rachel Haberman, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 10 Terrace Court, Suite 103, Madison, WI 53718

### **Educational Background and Business Experience**

Ms. Haberman was born in 1987. She received her Bachelor of Arts degree in English Education from Illinois State University in 2009.

Ms. Haberman has been with Wealthspire Advisors since she joined its predecessor company, Bronfman Rothschild, in 2015.

Ms. Haberman has successfully passed the Series 65 Uniform Investment Adviser Law Examination and is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Ms. Haberman does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Haberman is an Assistant Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Haberman does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Haberman's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Sarah Hannibal, CFA®<sup>7</sup> Biographical Information**

**Branch Location:** 3201 Enterprise Parkway, Suite 100, Beachwood, OH 44122

### **Educational Background and Business Experience**

Ms. Hannibal was born in 1971. Ms. Hannibal attended John E Dolibois European Center In Luxembourg in 1991. She graduated from Miami University of Ohio with a Bachelor of Science degree in Accounting in 1993 and from the Ross School of Business at the University of Michigan in Ann Arbor in 2000.

Ms. Hannibal began her financial services career with Deloitte as an Audit Senior in Chicago from 1993 – 1996, and as an Audit Manager in the UK from 1996-1998. She worked with JP Morgan Private Bank as a Vice President and Investment Specialist from 2000 – 2005. In 2005, she joined GEM Asset Management as a Partner from until 2015. She then joined Walden Wealth Partners, LLC as a Managing Director from, 2015 – 2024 when Walden Wealth Partners was acquired by Wealthspire Advisors. Ms. Hannibal is a Managing Director, Advisor with Wealthspire Advisors.

Ms. Hannibal holds the Chartered Financial Analyst® designation.

### **Disciplinary Information**

Ms. Hannibal does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self- regulatory proceeding.

### **Other Business Activities**

Ms. Hannibal is a Managing Director, Advisor with Wealthspire Advisors.

### **Additional Compensation**

Ms. Hannibal does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Hannibal's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Casey Hardy Biographical Information**

**Branch Location:** 3835 PGA Boulevard, Suite 1101, Palm Beach Gardens, FL 33410

### **Educational Background and Business Experience**

Mr. Hardy was born in 1994. He received his Bachelor of Science degree in Finance from the University of Central Florida in 2018.

Mr. Hardy was a Teller with Wells Fargo from 2015 to 2016, a Financial Advising Intern with Mosaic Wealth Management Group from 2017 to 2018, and a Relationship Specialist with Charles Schwab from 2018 to 2020. He joined Wealthspire Advisors' predecessor company, Sontag Advisory LLC, in 2020 as an Advisor Associate. Mr. Hardy is currently a Vice President, Advisor.

Mr. Hardy has passed the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Mr. Hardy does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Hardy is a Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Hardy does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Hardy's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Gail Harris, CFP®<sup>1</sup>, CIMA®<sup>5</sup>, CExP™<sup>15</sup> Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Ms. Harris was born in 1957. She graduated from Oregon State University in 1980 with a Bachelor of Science degree in Business Administration.

Ms. Harris was a Senior Financial Advisor for Merrill Lynch from 1996 to 2006, an Advisor for William Blair and Company from 2006 to 2007, and a Vice President of Client Services for a large single-family office from 2007- to 2013. She went on to serve as a Senior Vice President, Private Client Manager for Bank of America Private Wealth Management from 2014 to 2017, then as a Senior Vice President, Wealth Advisor for Key Private Bank from 2017 to 2018. She joined Wealthspire Advisors' predecessor company, Sontag Advisory LLC, in June 2018 as a Director.

Ms. Harris is a CERTIFIED FINANCIAL PLANNER™ practitioner, a Certified Investment Management Analyst® professional, and a Certified Exit Planner (CExP™). She has successfully passed the Series 65 Uniform Investment Adviser Law Examination and the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Ms. Harris does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Harris is a Senior Vice President at Wealthspire Advisors.

### **Additional Compensation**

Ms. Harris does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Harris' investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Raziel Hecht, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 709B Milwaukee Street, Delafield, WI 53018

### **Educational Background and Business Experience**

Mr. Hecht was born in 1988. He graduated Summa Cum Laude from York University in Toronto, Ontario in 2012 with a Bachelor of Arts degree in Economics.

Mr. Hecht started his career with Nishma in 2006 as a Research Assistant and Staff Assistant. From September 2012 to November 2013, he was employed with EGL, USA as an Account Representative and Customer Service Representative, then he served as an Associate Account Manager with B&H Photo Video from November 2013 to April 2014. Mr. Hecht was a Client Relationship Manager with Lake Country Wealth Management from May 2014 until the firm was acquired by Wealthspire Advisors' predecessor company, Bronfman Rothschild, in April 2015. Mr. Hecht is now a Senior Vice President, Advisor at Wealthspire Advisors.

Mr. Hecht is a CERTIFIED FINANCIAL PLANNER™ practitioner. He has successfully passed the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Mr. Hecht does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Hecht is a Senior Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Hecht does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Hecht's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Tierney Henderson, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 343 Sansome Street, Suite 540, San Francisco, CA 94104

### **Educational Background and Business Experience**

Ms. Henderson was born in 1993. She graduated from the University of California, Berkley in May 2016 with a Bachelor of Science degree in Environmental Economics & Policy.

Ms. Henderson worked with the AmeriCorps VISTA program from March 2016 – October 2017. She then became a Documentary Film Producer from October 2017 through April 2022. Ms. Henderson joined Wealthspire Advisors in May 2022. She is currently a Senior Advisor Associate.

Ms. Henderson is a CERTIFIED FINANCIAL PLANNER™ practitioner. She has also passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Henderson does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Henderson is a Senior Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Ms. Henderson does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Henderson's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Trent Hofmeister, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 1405 Wesley Drive, Suite 32, Salisbury, MD 21801

### **Educational Background and Business Experience**

Mr. Hofmeister was born in 1998. He received his bachelor's degree in Finance from Salisbury University – Perdue School of Business in 2021. Mr. Hofmeister joined Wealthspire Advisors in October 2021 as an Advisor Associate. Prior to joining Wealthspire Advisors, Mr. Hofmeister was a student. He is currently a Senior Advisor Associate.

Mr. Hofmeister is a CERTIFIED FINANCIAL PLANNER™. He has also successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Hofmeister does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Hofmeister is a Senior advisor Associate with Wealthspire Advisors.

### **Additional Compensation**

Mr. Hofmeister does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Hofmeister's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Timothy Hughes, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 11911 Freedom Drive, Suite 700, Reston, VA 20190

### **Educational Background and Business Experience**

Mr. Hughes was born in 1977. He graduated from James Madison University in 2000 with a Bachelor of Science degree in Business Administration - Finance.

Mr. Hughes was a Director with Highline Wealth Management from March 2007 until the firm was acquired by Wealthspire Advisors' predecessor company, Bronfman Rothschild, in July 2015.

Mr. Hughes is a CERTIFIED FINANCIAL PLANNER™ practitioner. He currently has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Hughes does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Hughes is a Managing Director at Wealthspire Advisors.

### **Additional Compensation**

Mr. Hughes does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Hughes' investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Justin K. Hult, CFA<sup>®7</sup> Biographical Information**

**Branch Location:** 100 Smith Ranch Road, Ste 300, San Rafael, CA 94903

### **Educational Background and Business Experience**

Mr. Hult was born in 1974. Mr. Hult graduated from the University of Puget Sound with a Bachelor of Arts degree in Mathematics, and from Washington University in St. Louis with a Bachelor of Science degree in Civil Engineering and a Master of Business Administration.

Mr. Hult served as the Director of Investment Operations and Chief Compliance Officer of Private Ocean, LLC from 2009 through 2021 and had been with Private Ocean since 2000. Private Ocean, LLC was acquired by Wealthspire Advisors in December 2021. Mr. Hult joined as Head of Trading, Portfolio Management, and Risk Management with Wealthspire Advisors.

Mr. Hult is a CHARTERED FINANCIAL ANALYST<sup>®</sup>.

### **Disciplinary Information**

Mr. Hult does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Hult is Head of Trading, Portfolio Management and Risk Management at Wealthspire Advisors.

### **Additional Compensation**

Mr. Hult does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Hult's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Ashley Iddings, CIMA<sup>®5</sup>, CPWA<sup>®6</sup> Biographical Information**

**Branch Location:** 12435 Park Potomac Avenue, Suite 500, Potomac, MD 20854

### **Educational Background and Business Experience**

Ms. Iddings was born in 1977. She graduated from American University in 2000 with a Bachelor of Science degree in Business Administration – Accounting.

From 2001 to 2007, Ms. Iddings was an Associate Director for Convergent Wealth Advisors and its predecessor firms Lydian Wealth Management and CMS Financial Services. She served as a Director with Highline Wealth Management, LLC from March 2008 and continued in that role through the firm's acquisition by Wealthspire Advisors' predecessor company, Bronfman Rothschild, in July 2015.

Ms. Iddings is a Certified Investment Management Analyst<sup>®</sup> professional and a Certified Private Wealth Advisor<sup>®</sup> practitioner. She has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Iddings does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Iddings is a Managing Director at Wealthspire Advisors.

### **Additional Compensation**

Ms. Iddings does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Iddings' investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Christopher Jennings, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Jennings was born in 1986. He received his Bachelor of Science degree in Finance the University of Scranton in 2008.

Mr. Jennings worked with JPMorgan Chase Bank NA from 2014 – 2015 as a Private Client Investment Associate. In 2016, he joined Merrill Lynch Wealth Management as a Team Financial Advisor – Planning, later joining IFC Personal Money Managers, Inc. as a Paraplanner/Support Advisor until 2019. In 2019, Mr. Jennings joined Heron Wealth as a Wealth Advisor. Heron Wealth was acquired by Wealthspire Advisors in 2023, where Mr. Jennings serves as a Vice President, Advisor.

Mr. Jennings is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Mr. Jennings does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Jennings is a Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Jennings does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Jennings's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Megan John, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Ms. John was born in 1987. She graduated from the Cleveland Institute of Art with a Bachelor of Fine Arts and holds a Certificate in Financial Planning from the New York University School of Professional Studies.

Prior to joining Wealthspire Advisors in August 2021, Ms. John worked as a freelance bookkeeper, then went on to serve as an administrative assistant and coordinator for a private family office for seven years. Ms. John is currently an Assistant Vice President, Client Services at Wealthspire Advisors.

Ms. John is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Ms. John does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. John is an Assistant Vice President, Client Services at Wealthspire Advisors.

### **Additional Compensation**

Ms. John does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. John's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Ryan Jordan, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 12435 Park Potomac Avenue, Suite 500, Potomac, MD 20854

### **Educational Background and Business Experience**

Mr. Jordan was born in 1999. He received his Bachelor of Science degree in Finance, with a CFP® Certification Education Track, from Virginia Polytechnic Institute and State University in 2021.

Mr. Jordan previously worked as a Finance Intern and Co-General Manager of the Peninsula Pilots baseball team in 2018, then as a Financial Planning Intern for Mason & Associates in 2019. He completed Wealthspire Advisors' Summer 2020 Intern program and is now an Assistant Vice President, Advisor.

Mr. Jordan is a CERTIFIED FINANCIAL PLANNER™ practitioner. He has also successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Jordan does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Jordan is Assistant Vice President at Wealthspire Advisors.

### **Additional Compensation**

Mr. Jordan does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Jordan's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Lindsey Kane Biographical Information**

**Branch location:** 10 Terrace Court, Suite 103, Madison, WA 53718

### **Educational Background and Business Experience**

Ms. Kane was born in 1991. She received her bachelor's degree in Finance from the University of Northern Iowa in 2014.

Ms. Kane began her career at BMO Harris Bank as a Universal Banker from November 2015 – November 2017 and then as a Senior Premier Banker – Vice President from November 2017 – August 2021. Ms. Kane then joined Johnson Financial Group as an Associate Financial Advisor from August 2021 – March 2022. Ms. Kane joined Wealthspire Advisors in 2022 and is currently a Senior Advisor Associate.

Ms. Kane has successfully passed the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Ms. Kane does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Kane is a Senior Advisor Associate with Wealthspire Advisors.

### **Additional Compensation**

Ms. Kane does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Kane's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Nicholas Kapelewski, CFP®1 Biographical Information**

**Branch Location:** 29 South Main Street, Suite 300, West Hartford, CT 06107

### **Educational Background and Business Experience**

Mr. Kapelewski was born in 1997. He received his Bachelor of Science degree in Finance from the University of Scranton in 2020. He received his MBA in 2021, also from the University of Scranton.

Mr. Kapelewski was a Finance Intern with the S/L/A/M Collaborative from June 2018 – June 2020. He served as an Investment Operations Intern with The Hartford Investment Management Co. from June 2020 – June 2021. He then joined Bank of America/Merrill Lynch as a Registered Wealth Management Client Associate during the June 2021 – June 2024 period. He joined Wealthspire Advisors in June 2024 as a Senior Advisor Associate.

Mr. Kapelewski has passed the Series 65 Uniform Investment Adviser Law Examination and is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Mr. Kapelewski does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Kapelewski is a Senior Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Mr. Kapelewski does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Kapelewski's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Dmitriy Katsnelson Biographical Information**

**Branch Location:** 12435 Park Potomac Avenue, Suite 500, Potomac, MD 20854

### **Educational Background and Business Experience**

Mr. Katsnelson was born in 1982. He earned a Bachelor of Science degree in Finance and International Business from the University of Maryland in 2004.

Mr. Katsnelson was a Senior Analyst and later Chair of the Strategic Investment and Asset Allocation Committees at LPL Financial (formerly Fortigent, LLC) from 2005 to May 2015. He joined Highline Wealth Management as a Research Associate in June 2015. After Highline was acquired by Wealthspire Advisors' predecessor company, Bronfman Rothschild, in the same year, he became Director of Investment Research in 2016 and later served as Chief Investment Officer beginning January 2018.

Mr. Katsnelson has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Katsnelson does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Katsnelson is the Deputy Chief Investment Officer and a Managing Director at Wealthspire Advisors and its subsidiaries, separately registered investment advisors.

### **Additional Compensation**

Mr. Katsnelson does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Katsnelson's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Thomas J. Kavanagh, CFP®<sup>1</sup>, CPWA®<sup>6</sup> Biographical Information**

**Branch Location:** 521 Fifth Ave, 15th Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Kavanagh was born in 1969. Mr. Kavanagh graduated from Fordham University with a BA in Mathematics / Economics in 1991 and a MA in Economics in 1992. Mr. Kavanagh earned his Master of Business Administration from Columbia Business School in Finance.

Mr. Kavanagh was a Financial Planner at JTW Associates from February 2008 through December 2013. Mr. Kavanagh joined Wealthspire Advisors-acquired firm Lenox Wealth Advisors, LLC in April 2013. Mr. Kavanagh is a Senior Vice President, Intermediary Business Associate Lead at Wealthspire Advisors.

Mr. Kavanagh is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Mr. Kavanagh does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Kavanagh is a Senior Vice President, Intermediary Business Associate Lead at Wealthspire Advisors.

### **Additional Compensation**

Mr. Kavanagh does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Kavanagh's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Jack Keating, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 11911 Freedom Drive, Suite 700, Reston, VA 20190

### **Educational Background and Business Experience**

Mr. Keating was born in 1996. He graduated from Virginia Polytechnic Institute and State University (Virginia Tech) in 2019 with a Bachelor of Science degree in Finance.

Mr. Keating joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, in 2018 as an Intern and became an Advisor Associate. Mr. Keating is an Assistant Vice President, Advisor at Wealthspire Advisors.

Mr. Keating is a CERTIFIED FINANCIAL PLANNER™ practitioner. He has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Keating does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Keating is an Assistant Vice President at Wealthspire Advisors.

### **Additional Compensation**

Mr. Keating does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Keating's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Riley Keenan Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Keenan was born in 1998. He received his Bachelor of Science degree in Business Administration, with a specialization in Finance and a minor in Economics, from Ohio State University Fisher College of Business.

Mr. Keenan previously completed the summer intern program with Wealthspire Advisors' predecessor company, Sontag Advisory, as well as several other internships while in school. He serves as a Senior Advisor Associate at Wealthspire Advisors.

Mr. Keenan has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Keenan does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Keenan is a Senior Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Mr. Keenan does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Keenan's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Stephen Kepler, CFP®<sup>1</sup>, CDFA®<sup>3</sup> Biographical Information**

**Branch Location:** 100 Smith Ranch Road, Ste 300, San Rafael, CA 94903

### **Educational Background and Business Experience**

Mr. Kepler was born in 1968. Mr. Kepler graduated in 1990 from Vanderbilt University with a Bachelor of Arts degree in Economics.

From April 2010 through February 2013, Mr. Kepler was a Senior Equity Sales trader with Weeden & Co. From June 2014 through September 2016, Mr. Kepler was an Associate Wealth Manager with Aspiriant. From March 2017 through October 2018, Mr. Kepler was a Financial Planner with Mosaic Financial Partners, Inc. In October 2018 Mosaic Financial Partners, Inc. was acquired by Private Ocean, LLC. Private Ocean, LLC was acquired by Wealthspire Advisors in December 2021. Mr. Kepler is a Vice President and Advisor with Wealthspire Advisors.

Mr. Kepler is a CERTIFIED FINANCIAL PLANNER™ practitioner and a CERTIFIED DIVORCE FINANCIAL ANALYST®.

### **Disciplinary Information**

Mr. Kepler does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Kepler is a Vice President and Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Kepler does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Kepler's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Briana Kelly Keydel, CFP<sup>®1</sup>, CDFA<sup>®3</sup> Biographical Information**

**Branch Location:** 1700 Westlake Ave. N, Ste 325, Seattle, WA 98109

### **Educational Background and Business Experience**

Ms. Keydel was born in 1965. Ms. Keydel graduated from the University of Washington in 1997 with a Bachelor of Science degree in Psychology and from Seattle University in 1992 with a Master of Business Administration degree.

Ms. Keydel was an Investment Advisor Representative and a Registered Representative with Cetera Advisor Networks LLC formerly dba Financial Network Investment Corporation from October 1998 through March 2016. Ms. Keydel was a Principal Member and Investment Advisor Representative with Lakeview Financial Group, LLC from 2006 through December 2017, when Lakeview Financial Group, LLC was acquired by Private Ocean, LLC. Ms. Keydel served as an Advisor with Private Ocean, LLC from January 2018 through December 2021 when Private Ocean, LLC was acquired by Wealthspire Advisors. Ms. Keydel serves as a Managing Director and Advisor at Wealthspire Advisors.

Ms. Keydel is a CERTIFIED FINANCIAL PLANNER™ practitioner and a CERTIFIED DIVORCE FINANCIAL ANALYST®.

### **Disciplinary Information**

Ms. Keydel does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Keydel is a Managing Director and Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Keydel does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Keydel's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Christopher Kiessling, CFP®<sup>1</sup>, BFA™<sup>12</sup> Biographical Information**

**Branch Location:** 12435 Park Potomac Avenue, Suite 500, Potomac, MD 20854

### **Educational Background and Business Experience**

Mr. Kiessling was born in 1987. He received his Bachelor of Science degree in Finance with a CFP® Certification Education Track from Virginia Polytechnic Institute and State University in 2010.

Mr. Kiessling started at Highline Wealth Management, LLC as an Analyst from June 2010 to December 2012, a Senior Analyst from January 2013 to November 2014, and then as a Wealth Advisor from December 2014 to July 2015. He joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, in August 2015 as a Wealth Advisor.

Mr. Kiessling is a CERTIFIED FINANCIAL PLANNER™ practitioner and has completed the Behavioral Financial Advice program. He has also passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Kiessling does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Kiessling is a Senior Vice President at Wealthspire Advisors.

### **Additional Compensation**

Mr. Kiessling does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Kiessling's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Benjamin D. Kille, CFP®<sup>1</sup>, AIF®<sup>11</sup>, CIMA®<sup>5</sup> Biographical Information**

**Branch Location:** 29 South Main Street, West Hartford, CT 06107

### **Educational Background and Business Experience**

Mr. Kille was born in 1962. Mr. Kille obtained his bachelor's degree in Finance and Real Estate from the University of Arizona in 1984. Mr. Kille began his career with Hamilton Group Securities in 1985. He then joined CIGNA Financial Advisors, Inc. from 1986 to 1998 as an Investment Advisor Representative and Registered Representative. Mr. Kille joined Lincoln Financial Advisors Corporation from 1998 to 2003 as an Investment Advisor Representative and Registered Representative for continuing his career at NFP Advisor Services, LLC (formerly NFP Securities, Inc) as a Registered Representative from 2003 to 2016 and an Investment Advisor Representative from 2011 to 2016.. Mr. Kille was also an Investment Advisor Representative with Private Capital Group, LLC, (PCG) Managing Member and Chief Compliance officer at PCG from 2003 to 2021. PCG was acquired in 2021 by Wealthspire Advisors where Mr. Kille is a Managing Director and Advisor.

Mr. Kille is a CERTIFIED FINANCIAL PLANNER™ practitioner, an Accredited Investment Fiduciary and a Certified Investment Management Analyst. He has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Kille does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Kille is a Managing Director and Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Kille does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Kille's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Seong Ho (“Paul”) Kim Biographical Information**

**Branch Location:** 12435 Park Potomac Avenue, Suite 500, Potomac, MD 20854

### **Educational Background and Business Experience**

Mr. Kim was born in 1993. He graduated from James Madison University in 2016 with a Bachelor of Science in Quantitative Finance and double minors in Mathematics and Economics.

In 2015, Mr. Kim interned at SunTrust Mortgage within the Credit Risk Management Data Analytics department. After graduating from JMU, Mr. Kim joined Merrill Lynch Wealth Management as a Registered Client Associate. He spent two and a half years as a Registered Client Associate before becoming an Assistant Vice President and Financial Solutions Advisor at Bank of America Merrill Lynch in December 2018. In October 2019, Mr. Kim joined Wealthspire Advisor’s predecessor company, Bronfman Rothschild, as an Advisor Associate. He is now an Assistant Vice President, Advisor at Wealthspire.

Mr. Kim has successfully passed the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Mr. Kim does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Kim is an Assistant Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Kim does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Kim’s investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Matthew Kleiman, J.D. Biographical Information**

**Branch location:** 709B Milwaukee Street, Delafield, WI 53018

### **Educational Background and Business Experience**

Mr. Kleiman was born in 1988. He received his bachelor's degree in History and a Certificate in Jewish Studies from the University of Wisconsin – Madison in 2010. Mr. Kleiman earned his J.D. from Loyola University Chicago School of Law in 2014 and is a member of the Wisconsin State Bar since 2014. Mr. Kleiman began his career as a Law Clerk at Safer & Stein Law Firm from August 2014 – April 2015. In June 2015, Mr. Kleiman joined Northwestern Mutual as a Regulatory Reporting Compliance Clerk before joining Robert W. Baird in August 2016 as a Registration Compliance Analyst. In March 2017 Mr. Kleiman joined Development Corporation for Israel/Israel Bonds. Mr. Kleiman joined Wealthspire Advisors in February 2022 as an Advisor Associate.

Mr. Kleiman has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Kleiman does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Kleiman is an Advisor Associate with Wealthspire Advisors.

### **Additional Compensation**

Mr. Kleiman does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Kleiman's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Myka Koenen, CFP<sup>®1</sup> Biographical Information**

**Branch Location:** 11911 Freedom Drive, Suite 700, Reston, VA 20190

### **Educational Background and Business Experience**

Ms. Koenen was born in 1988. She received her Bachelor of Science degree in Personal Financial Planning from Texas Tech University in 2011.

Ms. Koenen started her career with Partners Financial Group in May 2010 as a Client Service Associate until February 2012. From February 2012 to January 2013, she was employed with Charles Schwab & Co., Inc. as a Participant Services Representative. Prior to joining Wealthspire Advisors' predecessor company, Bronfman Rothschild, in August 2015 as an Associate Wealth Advisor, Ms. Koenen was a Wealth Management Analyst with Highline Wealth Management from September 2014 to August 2015. Ms. Koenen is a Vice President, Advisor with Wealthspire Advisors.

Ms. Koenen is a CERTIFIED FINANCIAL PLANNER™ practitioner. She currently has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Koenen does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Koenen is a Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Koenen does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Koenen's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Martha Kolbow Biographical Information**

**Branch Location:** 330 East Kilbourn, Suite 1219, Milwaukee, WI 53202

### **Educational Background and Business Experience**

Ms. Kolbow was born in 1962. She graduated from Moody Bible Institute with a diploma in Christian Education and has completed accounting coursework at Madison Area Technical College – Watertown.

Ms. Kolbow was an Investment Operations Specialist at Vogel Consulting from 2014 to 2019, and then served as a Wealth Advisor Associate at Ellenbecker Investment Group from 2019 to October 2021. She joined Wealthspire Advisors LLC in October 2021 as an Assistant Vice President, Client Service.

Ms. Kolbow has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Kolbow does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Kolbow is an Assistant Vice President, Client Service at Wealthspire Advisors.

### **Additional Compensation**

Ms. Kolbow does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Kolbow's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Kevin Kosgard Biographical Information**

**Branch Location:** 2505 East Evergreen Drive, Suite A, Appleton, WI 54913

### **Educational Background and Business Experience**

Mr. Kosgard was born in 1963. He received his Bachelor of Business Administration degree from the University of Iowa in 1985, majoring in Finance.

Mr. Kosgard was the Vice President and Senior Private Banker for J.P. Morgan from July 2006 to June 2013 prior to joining Wealthspire Advisors' predecessor company, Bronfman Rothschild, as a Director and Senior Vice President in June 2013.

Mr. Kosgard has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Kosgard does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Kosgard is a Senior Vice President, Wealth Advisory at Wealthspire Advisors.

### **Additional Compensation**

Mr. Kosgard does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Kosgard's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **John M. Kovacs Biographical Information**

**Branch Location:** 521 Fifth Ave, 15th Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Kovacs was born in 1979. Mr. Kovacs graduated from Loyola University of Maryland in 2001, with a degree from the Sellinger School of Business.

From 2001 through 2008, Mr. Kovacs was a financial advisor with Morgan Stanley. Mr. Kovacs was employed by Merrill Lynch as a financial advisor from 2008 to 2017. Mr. Kovacs joined Wealthspire Advisors-acquired firm Lenox Wealth Advisors, LLC in December 2017 as a Wealth Advisor. Mr. Kovacs is a Managing Director and Head of Intermediary Business of Wealthspire Advisors.

Mr. Kovacs has passed the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Mr. Kovacs does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Kovacs is a Managing Director and Head of Intermediary Business of Wealthspire Advisors.

### **Additional Compensation**

Mr. Kovacs does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Kovacs's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Sonia Kraus, FPQP™<sup>20</sup> Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Ms. Kraus was born in 1979. She graduated from The Bernard M. Baruch College with a Bachelor of Business Administration degree in Accounting and a minor in French in 2013.

Ms. Kraus started her career in 2011 at Star Mountain Capital as a Investor Relations Assistant and Marketing Coordinator. She joined Merrill Lynch in 2016 as a Private Wealth Associate before transitioning to Avestar Capital in 2017 as a Client Service and Operations Analyst. She was a Client and Operations Specialist for Source Financial Advisors from 2019 to 2021. Ms. Kraus joined Wealthspire Advisors-acquired firm Heron Wealth Advisors in 2021 as an Associate Advisor. She is currently a Senior Advisor Associate with Wealthspire Advisors.

Ms. Kraus is a Financial Paraplanner Qualified Professional™ designee and has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Kraus does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Kraus is currently a Senior Advisor Associate with Wealthspire Advisors.

### **Additional Compensation**

Ms. Kraus does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Kraus's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Matthew Krueger Biographical Information**

**Branch Location:** 2505 East Evergreen Drive, Suite A, Appleton, WA 54913

### **Educational Background and Business Experience**

Mr. Krueger was born in 2001. He received his Bachelor of Finance degree from the University of Wisconsin-Madison in 2023.

Mr. Krueger was a Financial Analyst with Menasha Packaging from May 2022 – December 2022. He completed Wealthspire's internship program in the summer of 2023, then joined Wealthspire Advisors as an Associate Advisor in October 2023.

Mr. Krueger has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Krueger does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Krueger is an Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Mr. Krueger does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Krueger's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Orathai (“Joy”) Kuvareewong Biographical Information**

**Branch Location:** 11911 Freedom Drive, Suite 700, Reston, VA 20190

### **Educational Background and Business Experience**

Ms. Kuvareewong was born in 1983. She graduated from Chulalongkorn University in 2006 with a Bachelor of Business Administration degree in Banking and Finance, and from the Carey Business School at Johns Hopkins University in 2009 with a Master of Science in Finance.

Ms. Kuvareewong was a Wealth Analyst in the Wealth Management Group at United Bank from 2008 to 2010, and then joined Capital Fiduciary Advisors in 2010, first as a Client Operations & Research Analyst, then as a Senior Client Operations and Compliance Administrator (June 2012 to March 2014), then finally as a Client Operations Manager (March 2014 to May 2017). She joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, in 2017 as Manager, Investment Operations. Ms. Kuvareewong is now an Assistant Vice President, Advisor.

Ms. Kuvareewong has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Kuvareewong does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Kuvareewong is an Assistant Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Kuvareewong does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Kuvareewong's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Jennine Ramsey LaCroix, CFP<sup>®1</sup>, AIF<sup>®11</sup>, AAMS<sup>®17</sup>, CMFC<sup>®19</sup>**

### **Biographical Information**

**Branch Location:** 900 Bestgate Road, Suite 200, Annapolis, MD 21401

#### **Educational Background and Business Experience**

Ms. LaCroix was born in 1970. She graduated from Marymount University with a Bachelor of Business Administration degree in Finance and went on to earn a Master of Business Administration degree in Finance.

Ms. LaCroix was a Founding Partner of Wealthspire Advisor-acquired firm Strategic Wealth Management, LLC dba StratWealth and has been a Registered Investment Advisor Representative of the firm since 2002.

Ms. LaCroix is a CERTIFIED FINANCIAL PLANNER™ practitioner, an Accredited Investment Fiduciary® designee, an ACCREDITED ASSET MANAGEMENT SPECIALIST<sup>SM</sup> professional, and a CHARTERED MUTUAL FUND COUNSELOR professional. She has also passed the Series 65 Uniform Investment Adviser Law Examination.

#### **Disciplinary Information**

Ms. LaCroix does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

#### **Other Business Activities**

Ms. LaCroix is a Managing Director, Advisor at Wealthspire Advisors.

#### **Additional Compensation**

Ms. LaCroix does not receive any additional economic benefit from third parties for providing advisory services.

#### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. LaCroix's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## Allaire L. Langdon, CFP®<sup>1</sup> Biographical Information

**Branch Location:** 3835 PGA Boulevard, Suite 1101, Palm Beach Gardens, FL 33410

### **Educational Background and Business Experience**

Ms. Langdon was born in 1994. Ms. Langdon graduated from Skidmore College in 2016, with a degree in Management and Business and Minor in Economics.

Ms. Langdon joined Wealthspire Advisors-acquired firm Lenox Wealth Advisors, LLC in June 2016 as a Wealth Strategist. Ms. Langdon is a Senior Vice President and Advisor at Wealthspire Advisors.

Ms. Langdon is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Ms. Langdon does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Langdon is a Senior Vice President and Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Langdon does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Langdon's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Bruce R. Laning, CFA®<sup>7</sup> Biographical Information**

**Branch Location:** 330 East Kilbourn, Suite 1219, Milwaukee, WI 53202

### **Educational Background and Business Experience**

Mr. Laning was born in 1959. He received his Bachelor of Science degree in Business Administration from Valparaiso University in 1981, and a Master of Management from the J.L. Kellogg Graduate School of Management at Northwestern University in 1988.

Mr. Laning was a Portfolio Manager with Marietta Investment Partners, LLC from March 2001 until February 2012. In February 2012, he joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, as a Managing Director.

Mr. Laning holds the Chartered Financial Analyst® designation. He has also successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Laning does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Laning is a Managing Director at Wealthspire Advisors.

### **Additional Compensation**

Mr. Laning does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Laning's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Theodore F. Leisure Biographical Information**

**Branch Location:** 11911 Freedom Drive, Suite 700, Reston, VA 20190

### **Educational Background and Business Experience**

Mr. Leisure was born in 1965. He received his Bachelor of Science degree in Economics from Boston College in 1988.

Mr. Leisure was a Financial Advisor with Wells Fargo Advisors, LLC from May 2009 to January 2015. He then joined Capital Fiduciary Advisors, LLC as a Managing Director and Financial Advisor until May 2017. In May 2017, Mr. Leisure joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, as a Director. In April 2022, Mr. Leisure became a Managing Director and Advisor with Wealthspire Advisors.

Mr. Leisure has passed the Series 65 Uniform Investment Advisors Law Examination.

### **Disciplinary Information**

Mr. Leisure does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Leisure is a Senior Vice President at Wealthspire Advisors.

### **Additional Compensation**

Mr. Leisure does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Leisure's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Christopher J. Leddy Biographical Information**

**Branch Location:** 521 Fifth Ave, 15th Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Leddy was born in 1982. Mr. Leddy graduated from Colgate University in 2005 with a degree in Political Science.

Mr. Leddy began his career with BlackRock, Inc from August 2005 through February 2014. Mr. Leddy joined Wealthspire Advisors-acquired firm Lenox Wealth Advisors, LLC in October 2018 as a Wealth Strategist. Mr. Leddy is a Senior Vice President, Advisor at Wealthspire Advisors.

Mr. Leddy has passed the Series 65 Uniform Investment Advisors Law Examination.

### **Disciplinary Information**

Mr. Leddy does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Leddy is a Senior Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Leddy does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Leddy's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Tammie Lenzner Biographical Information**

**Branch Location:** 2505 East Evergreen Drive, Suite A, Appleton, WI 54913

### **Educational Background and Business Experience**

Ms. Lenzner was born in 1964. She received her Associate Degree in Business Mid-Management from Nicolet College in 1984.

Ms. Lenzner was an Administrative Assistant with Schenck Corporate Finance Solutions from July 2001 to November 2007 prior to joining Wealthspire Advisors' predecessor company, Bronfman Rothschild, as an Administrative Assistant.

Ms. Lenzner has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Lenzner does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Lenzner is a Senior Client Service Associate at Wealthspire Advisors.

### **Additional Compensation**

Ms. Lenzner does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Lenzner's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Gloria Levorin, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Ms. Levorin was born in 1992. She graduated from Florida International University with a Bachelor of Science degree in Business Administration in May 2015 and her Master of Science degree in Finance in 2016. She obtained her Master's degree in Economics and Finance from Ca' Foscari University in Venice, Italy in July 2021.

Ms. Levorin was Senior Tutor at Florida International University from 2013 – 2016. She worked at Generali Italia Spa as an Insurance Advisor from February – May 2017 and as a Purchasing Assistant at Bernardinello Engineering Spa from October 2017 – November 2018. Ms. Levorin joined Wealthspire Advisors in October 2021 as a Client Service Associate, became a Sr. Client Service Associate in April 2023, and was promoted to Advisor Associate in March 2024.

Ms. Levorin is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Ms. Levorin does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Levorin is an Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Ms. Levorin does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Levorin's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Donna Levy Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Ms. Levy was born in 1959. She graduated from Boston University in 1980 with a Bachelor of Science in Business Administration.

Ms. Levy began her career as an Analyst for Columbus Circle Investors Corporation, then Ms. Levy held positions as Vice President & Investment Specialist for Citibank Private Bank and worked at Safian Investment Research, an economic advisory firm specializing in providing investment strategy research to institutional investors. Before joining Wealthspire Advisors' predecessor company, Sontag Advisory LLC, in 2000, she served as the Director of Investment Advisory Services for Clarfeld Financial Advisors Inc.

### **Disciplinary Information**

Ms. Levy does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Levy is a Managing Director at Wealthspire Advisors.

### **Additional Compensation**

Ms. Levy does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Levy's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Brian Loy, CFP®<sup>1</sup>, CFA®<sup>7</sup> Biographical Information**

**Branch Location:** 110 Country Estates Circle, Reno, NV 89511

### **Educational Background and Business Experience**

Mr. Loy was born in 1957. He graduated from University of California at Berkeley in 1980 with a Bachelor of Science in Finance degree.

Mr. Loy founded and served as the President of Wealthspire Advisors-acquired firm Sage Financial Advisors from 1996 through 2022. In January 2023, Mr. Loy was appointed Senior Vice President, Advisor at Wealthspire Advisors and now serves as a Managing Director, Advisor.

Mr. Loy is a CERTIFIED FINANCIAL PLANNER™ practitioner and holds the Chartered Financial Analyst® designation. He has also passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Loy does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Loy is a Managing Director, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Loy does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Loy's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Sara Lubanski Biographical Information**

**Branch Location:** 521 Fifth Ave, 15th Floor, New York, NY 10175

### **Educational Background and Business Experience**

Ms. Lubanski was born in 2003. She earned her Bachelor of Business Administration degree in Finance from James Madison University in 2025.

Ms. Lubanski joined Wealthspire Advisors as an Advisor Associate in June 2025.

Ms. Lubanski has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Lubanski does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Lubanski is an Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Ms. Lubanski does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Lubanski's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure

## **Andrew S. Macaleer, CFA®<sup>7</sup> Biographical Information**

**Branch Location:** 521 Fifth Ave, 15th Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Macaleer was born in 1986. Mr. Macaleer earned his bachelor's degree in Finance from The Pennsylvania State University in 2008.

Mr. Macaleer was employed with AllianceBernstein, L.P. where he earned his Chartered Financial Analyst® designation and was a registered representative of AB Bernstein, L.P., an SEC Registered and FINRA member from August 2011 through December 2016. Mr. Macaleer joined Wealthspire Advisors-acquired firm Lenox Wealth Advisors, LLC in May 2018 as a Wealth Strategist. Mr. Macaleer is a Senior Vice President and Advisor at Wealthspire Advisors.

Mr. Macaleer holds the Chartered Financial Analyst® designation.

### **Disciplinary Information**

Mr. Macaleer does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Macaleer is a Senior Vice Present and Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Macaleer does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Macaleer's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Kimberly S. Magaha, CFP®<sup>1</sup>, AIF®<sup>11</sup> Biographical Information**

**Branch Location:** 1405 Wesley Drive, Suite 32, Salisbury, MD 21801

### **Educational Background and Business Experience**

Ms. Magaha was born in 1981. She graduated from Salisbury University in 2003, with a Bachelor of Science degree in Finance and a Bachelor of Science degree in Business Management.

Ms. Magaha joined Wealthspire Advisors-acquired firm Strategic Wealth Management, LLC dba StratWealth in 2004 as a Partner and Advisor. She is a Managing Director, Advisor with Wealthspire Advisors.

Ms. Magaha is a CERTIFIED FINANCIAL PLANNER™ practitioner and an Accredited Investment Fiduciary® designee.

### **Disciplinary Information**

Ms. Magaha does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Magaha is a Managing Director, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Magaha does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Magaha's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Michael Zachary Mangels, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 100 Smith Ranch Road, Ste 300, San Rafael, CA 94903

### **Educational Background and Business Experience**

Mr. Mangels was born in 1985. Mr. Mangels graduated from the University of California, San Diego with a Bachelor of Science degree in Psychology and a Master of Science in Financial Planning from the College for Financial Planning.

Mr. Mangels was a Tactical Wealth Coach/Junior Financial Planner at The Glowacki Group, LLC (2008-2011). Mr. Mangels joined Private Ocean LLC in 2011 as an Advisor. Private Ocean LLC was acquired in December 2021 by Wealthspire Advisers. Mr. Mangels is a Senior Vice President and Advisor with Wealthspire Advisors.

Mr. Mangels is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Mr. Mangels does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Mangels is a Senior Vice President and Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Mangels does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Mangels' investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Dominick Matteo, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Matteo was born in 1997. He graduated *cum laude* from Virginia Polytechnic Institute and State University with a Bachelor of Science degree in Finance, CFP® Certification Option.

Prior to joining Wealthspire Advisors, Mr. Matteo worked as an Intern at Bleakley Financial Group (Summer 2017) and a Financial Planning Intern at Private Wealth Management Group, LLC in 2018. He went on to serve as a Paraplanner at Novi Wealth Partners, LLC (f/k/a Private Wealth Management Group, LLC) from 2019 to 2021. Mr. Matteo serves as an Assistant Vice President at Wealthspire Advisors.

Mr. Matteo is a CERTIFIED FINANCIAL PLANNER™ practitioner. He has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Matteo does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Matteo is an Assistant Vice President at Wealthspire Advisors.

### **Additional Compensation**

Mr. Matteo does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Matteo's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Max Meltzer, CFP®1 Biographical Information**

**Branch Location:** 12435 Park Potomac Avenue, Suite 500, Potomac, MD 20854

### **Educational Background and Business Experience**

Mr. Meltzer was born in 1984. He received a Bachelor of Arts degree in Sociology from Harvard University in 2007.

Mr. Meltzer was employed with The Meltzer Group as a Retirement Investment Consultant from November 2010 to December 2011. From January 2012 to October 2014, he was an Investment Management Associate for Convergent Wealth Advisors, LLC. Mr. Meltzer joined Highline Wealth Management as a Wealth Advisor in October 2014, prior to the firm's acquisition by Wealthspire Advisors' predecessor company, Bronfman Rothschild, in August 2015.

Mr. Meltzer is a CERTIFIED FINANCIAL PLANNER™ practitioner. He has successfully passed the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Mr. Meltzer does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Meltzer is a Senior Vice President at Wealthspire Advisors.

### **Additional Compensation**

Mr. Meltzer does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Meltzer's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Pietro Messina, CFP®1 Biographical Information**

**Branch Location:** 521 Fifth Ave, 15th Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Messina was born in 1991. He graduated from Manhattan College in 2013 with a Bachelor of Science degree in Finance and Marketing

Mr. Messina began his career as a Client Service Manager with Pell Wealth Partners from 2013 – 2015. He joined Christopher Street Financial in 2016 where he was a Financial Planning Analyst from 2016 through 2017 before becoming a Financial Advisor from 2017 - 2022. Mr. Messina joined Wealthspire Advisors in October 2022. He is currently a Vice President, Advisor.

Mr. Messina is a CERTIFIED FINANCIAL PLANNER™ practitioner. He has passed the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Mr. Messina does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Messina is a Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Messina does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Messina's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Uliana Michaelis, CFP®1 Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Ms. Michaelis was born in 1988. She graduated from the University of Connecticut in 2014 with a Bachelor of Science degree in Financial Management.

Ms. Michaelis previously worked for Coastal Bridge Advisors, first as a Portfolio Analyst and later as a Planning Specialist, from January 2013 to July 2018. She joined Wealthspire Advisors' predecessor company, Sontag Advisory LLC, in July 2018 as a Senior Advisor Associate. Ms. Michaelis is now a Vice President, Advisor with Wealthspire Advisors.

Ms. Michaelis is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Ms. Michaelis does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Michaelis is a Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Michaelis does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Michaelis's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Amy B. Miller, CFP<sup>®1</sup>, CDFA<sup>®3</sup> Biographical Information**

**Branch Location:** 29 South Main Street, West Hartford, CT 06107

### **Educational Background and Business Experience**

Ms. Miller was born in 1973. Ms. Miller obtained her bachelor's degree from the University of Illinois in 1996. She earned her Master of Business Administration from the University Connecticut in 2007. Ms. Miller began her career in Human Resources with Webster Bank, N.A from 1998 to 2009, where she then shifted her focus to banking operations and wealth advisory services. Ms. Miller became a Financial Advisor with Private Capital Group, LLC (PCG) in 2014. PCG was acquired in 2021 by Wealthspire Advisors, where Ms. Miller is a Senior Vice President and Advisor.

Ms. Miller servers on the board of Connecticut Women's Council (2018-present), Horizons of Ethel Walker School (2017-present), and Estate and Business Planning Council of Hartford (2017-present).

Ms. Miller is a CERTIFIED FINANCIAL PLANNER™ practitioner and a CERTIFIED DIVORCE FINANCIAL ANALYST® professional. She has passed the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Ms. Miller does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Miller is a Senior Vice President and Advisor at Wealthspire Advisors.

**Aurora Foundation for Women & Girls.** Ms. Miller serves as a Director for the Aurora Foundation for Women & Girls, a non-profit organization. In this role, Ms. Miller serves as an ambassador, fund raiser, and member of the Finance Committee. Ms. Miller dedicates less than ten percent (10%) of her time to this activity, and it is not expected that this role will present any conflicts of interest for clients of PCG.

### **Additional Compensation**

Ms. Miller does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Miller's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Alex Milley Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Milley was born in 2003. He received his Bachelor of Arts degree from Middlebury College in May 2025 with a Major in Economics and a Minor in Chinese.

Mr. Milley worked as an intern with Wealthspire Advisors (summer 2024). He joined Wealthspire Advisors as an Advisor Associate in June 2025.

Mr. Milley has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Milley does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Milley is an Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Mr. Milley does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Milley's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Kevin Moloney Biographical Information**

**Branch Location:** 10 Terrace Court, Suite 103, Madison, WI 53718

### **Educational Background and Business Experience**

Mr. Moloney was born in 1975. He received his Bachelor of Science in Marketing and Finance from the University of Minnesota in 1998.

Mr. Moloney was a Vice President - Investor with J.P. Morgan's Private Bank from August 2006 to July 2013 prior to joining Wealthspire Advisors' predecessor company, Bronfman Rothschild, in July 2013 as a Senior Advisor. In April 2022, Mr. Moloney was appointed a Managing Director and Advisor with Wealthspire Advisors.

Mr. Moloney has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Moloney does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Moloney is a Managing Director and Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Moloney does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Moloney's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Matthew Moser, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 521 Fifth Ave, 15th Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Moser was born in 1996. Mr. Moser graduated from the University of Delaware with a Bachelor of Science degree in Financial Planning and Wealth Management in 2018.

Mr. Moser began his career as a Registered Representative with Prudential advisors in June 2018 prior to joining Edelman Financial Engines in January 2019. He then joined Lenox Wealth Advisors, a Wealthspire predecessor firm in February 2021 as a Wealth Associate. He is currently a Senior Advisor Associate with Wealthspire Advisors.

Mr. Moser is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Mr. Moser does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Moser is a Senior Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Mr. Moser does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Moser's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Robert Moyer, CFA<sup>®2</sup>, CAIA<sup>4</sup>, CFP<sup>®3</sup> Biographical Information**

**Branch Location:** 1640 Huguenot Road, Midlothian, VA 23113

### **Educational Background and Business Experience**

Mr. Moyer was born in 1981. He received his Bachelor of Kinesiology with a concentration in Sports Management and a Minor in Business degree from James Madison University in 2004.

Mr. Moyer was a Financial Service Advisor for First Market Bank from 2006-2007. He joined Wealthspire Advisors' predecessor company, ACG Advisory Services, in 2007 as Senior Portfolio Manager and Director of Research until 2019 in which he was named Chief Investment Officer. He now serves as an Advisor for Wealthspire Advisors.

Mr. Moyer is a CERTIFIED FINANCIAL PLANNER™ practitioner, holds the CHARTERED FINANCIAL ANALYST® certification, and holds the Chartered Alternative Investment Analyst Association designation. He has successfully passed the Series 63 Uniform Securities Agent State Law Examination and the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Moyer does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Moyer is currently an Advisor with Wealthspire Advisors.

### **Additional Compensation**

Mr. Moyer does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Moyer's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Marilyn S. Napoli, CFP®1 Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Ms. Napoli was born in 1964. She graduated with honors in French from Newcomb College Tulane University in 1985.

Ms. Napoli was a Vice President and Senior Wealth Advisor at Neuberger Berman, Lehman Brothers Inc. from March 2008 to August 2013. She was a Partner and Wealth Advisor with Cantor Fitzgerald Wealth Partners from August 2013 to March 2017 prior to joining Wealthspire Advisors' predecessor company, Bronfman Rothschild, as a Director in March 2017.

Ms. Napoli is a CERTIFIED FINANCIAL PLANNER™ practitioner. She has successfully passed the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Ms. Napoli does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Napoli is a Senior Vice President at Wealthspire Advisors.

### **Additional Compensation**

Ms. Napoli does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Napoli's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Kathryn O'Connor, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 11911 Freedom Drive, Suite 700, Reston, VA 20190

### **Educational Background and Business Experience**

Ms. O'Connor was born in 2001. She graduated from Virginia Polytechnic Institute and State University with a Bachelor of Business Administration, Finance in 2023.

Ms. O'Connor completed Wealthspire Advisors' Summer 2022 Intern program and joined Wealthspire Advisors as an Advisor Associate in June 2023.

Ms. O'Connor has successfully passed the Series 65 Uniform Investment Adviser Law Examination and is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Ms. O'Connor does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. O'Connor is currently an Advisor Associate with Wealthspire Advisors.

### **Additional Compensation**

Ms. O'Connor does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. O'Connor's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Jake Obringer, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 11911 Freedom Drive, Suite 700, Reston, VA 20190

### **Educational Background and Business Experience**

Mr. Obringer was born in 1998. He graduated from Virginia Polytechnic Institute and State University with a Bachelor of Science degree in Finance with a concentration in Financial Planning.

Prior to joining Wealthspire Advisors, Mr. Obringer worked as a Client Associate Intern at Merrill Lynch (Summer 2019). Mr. Obringer is currently an Assistant Vice President, Advisor.

Mr. Obringer is a CERTIFIED FINANCIAL PLANNER™ practitioner. He has also successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Obringer does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Obringer is an Assistant Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Obringer does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Obringer's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Madelyn Oemig, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 330 East Kilbourn, Suite 1219, Milwaukee, WI 53202

### **Educational Background and Business Experience**

Ms. Oemig was born in 2001. She received her Bachelor of Science degree in Personal Finance (minor in Mathematics) from the University of Wisconsin – Madison in 2023.

During her time at the University of Wisconsin – Madison, Ms. Oemig served as a Peer Coach Mentor for fellow students and was also actively involved in the school's Financial Occupation Club for University Students (FOCUS). She joined Wealthspire Advisors in June 2023 as an Advisor Associate.

Ms. Oemig has successfully passed the Series 65 Uniform Investment Adviser Law Examination and is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Ms. Oemig does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Oemig is an Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Ms. Oemig does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Oemig's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Brenna Paananen, CFP<sup>®1</sup>, CIMA<sup>®5</sup>, CFC<sup>28</sup> Biographical Information**

**Branch Location:** 3201 Enterprise Parkway, Suite 100, Beachwood, OH 44122

### **Educational Background and Business Experience**

Ms. Paananen was born in 1998. Ms. Paananen graduated University of Akron with a Bachelor of Business Administration, Financial Planning Major and a Bachelor of Business Administration, Financial Management Major in 2019.

Ms. Paananen began her career Walden Wealth Partners as a Wealth Management Associate in 2019, transitioning to an Advisor/Portfolio Strategist in June 2023. In May 2024, Walden Wealth Partners was acquired by Wealthspire Advisors where Ms. Paananen is a Senior Advisor Associate.

Ms. Paananen is a CERTIFIED FINANCIAL PLANNER<sup>™</sup> practitioner and a CERTIFIED INVESTMENT MANAGEMENT ANALYST<sup>®</sup>, as well the Certified Financial Counselor certification.

### **Disciplinary Information**

Ms. Paananen does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Paananen is a Senior Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Ms. Paananen does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Paananen's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Greta Panke Biographical Information**

**Branch location:** 29 South Main Street, Suite 300, West Hartford, CT 06107

### **Educational Background and Business Experience**

Ms. Panke was born in 2003. She received her Bachelor of Art degree with a Major in Economics and Minors in Finance and Psychology from Connecticut College in 2025.

Ms. Panke worked as a Customer Experience intern at Travelers (2023-2024) and as a Wealth Management Intern at Wealthspire Advisors (summer 2024). Ms. Panke joined Wealthspire Advisors in 2025 as an Advisor Associate.

Ms. Panke has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Panke does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Panke is an Advisor Associate with Wealthspire Advisors.

### **Additional Compensation**

Ms. Panke does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Panke's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Samantha Paul-Hackman, FPQP™<sup>20</sup> Biographical Information**

**Branch location:** 8170 Maple Lawn Blvd, Suite 100, Fulton, MD 20759

### **Educational Background and Business Experience**

Ms. Paul-Hackman was born in 1993. She received her Bachelor of Science in Business Administration degree from Towson University in 2016.

Ms. Paul-Hackman began her career as a Financial Representative at Fidelity in May 2016. Ms. Paul-Hackman joined Wealthspire Advisor-acquired firm Strategic Wealth Management Group, LLC dba StratWealth in 2017 as a Nexit Strategist before transitioning to her role as an Associate Advisor in 2021. Ms. Paul-Hackman is currently a Senior Advisor Associate with Wealthspire Advisors.

Ms. Paul-Hackman is a Financial Paraplanner Qualified Professional™ designee. She has also successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Paul-Hackman does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Paul-Hackman is a Senior Advisor Associate with Wealthspire Advisors.

### **Additional Compensation**

Ms. Paul-Hackman does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Paul-Hackman's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Julia M. Penwell, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 1700 Westlake Ave. N, Ste 325, Seattle, WA 98109

### **Educational Background and Business Experience**

Ms. Penwell was born in 1998. Ms. Penwell graduated from Cascadia College in 2016 with an Associate of Arts degree in Business, and from Central Washington University in 2019 with a Bachelor of Arts degree in Business Administration, specializing in Personal Financial Planning and a Bachelor of Arts degree in Economics, specializing in Business Analytics and Forecasting.

Ms. Penwell joined Private Ocean, LLC as a Paraplanner and then an Associate Advisor in October 2019. Private Ocean LLC was acquired in December 2021 by Wealthspire Advisers. Ms. Penwell is an Assistant Vice President, Advisor at Wealthspire Advisors.

Ms. Penwell is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Ms. Penwell does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Penwell is an Assistant Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Penwell does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Penwell's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Emily Perschbacher Biographical Information**

**Branch location:** 709B Milwaukee St, Delafield WI 53018

### **Educational Background and Business Experience**

Ms. Perschbacher was born in 2000. She received a bachelor's degree in Finance from the University of Wisconsin – Whitewater, with an emphasis in financial planning in May 2021.

Ms. Perschbacher was a Financial Planning Intern at Resilient Wealth Planning from May – November 2020. She then joined Ameriprise Financial where she worked as a Financial Planning Assistant from May 2021 – April 2022. Ms. Perschbacher joined Wealthspire Advisors as an Advisor Associate in 2022.

Ms. Perschbacher has passed the Series 65 Uniform Investment Adviser Law Exam.

### **Disciplinary Information**

Ms. Perschbacher does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Perschbacher is an Advisor Associate with Wealthspire Advisors.

### **Additional Compensation**

Ms. Perschbacher does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Perschbacher's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Amanda Phillips-DeSaverio, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 2000 South Colorado Blvd, Tower One, Suite 9000, Denver, CO 80222

### **Educational Background and Business Experience**

Ms. Phillips-DeSaverio was born in 1986. She received her Bachelor of Science degree in Finance with a concentration in Personal Financial Planning from Metropolitan State University of Denver in 2008.

Ms. Phillips-DeSaverio began her career at First Western Trust as a Vice President Portfolio Manager from Oct 2007 – February 2016. She joined Sunflower Bank as a Vice President, Wealth Management Advisor from February 2016 to June 2020, then joining Corundum Group as a Vice President, Wealth Advisor through July 2023. She joined Wealthspire Advisors as a Vice President, Advisor in July 2023.

Ms. Phillips-DeSaverio is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Ms. Phillips-DeSaverio does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Phillips-DeSaverio is a Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Phillips-DeSaverio does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Phillips-DeSaverio's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Aviva Shrock Pinto, CDFA<sup>®3</sup>, CDS<sup>14</sup> Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Ms. Pinto was born in 1959. She received her Bachelor of Arts degree in Economics and Psychology from the University of Michigan in 1981. She also earned a Master of Business Administration in Marketing and Finance from the University of Chicago in 1983.

Ms. Pinto was a Director of Client Services with Hillview Capital from March 2010 to February 2012 and a Partner with OpenArc Asset Management from March 2012 to September 2013. Ms. Pinto was a Director with Highline Wealth Management, LLC from September 2013 through the firm's acquisition by Wealthspire Advisors' predecessor company, Bronfman Rothschild, in August 2015.

Ms. Pinto is a CERTIFIED DIVORCE FINANCIAL ANALYST® professional and a Certified Divorce Specialist (CDS). She has successfully passed the Series 65 Uniform Investment Adviser Law Examination and the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Ms. Pinto does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Pinto is a Managing Director at Wealthspire Advisors.

### **Additional Compensation**

Ms. Pinto does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Pinto's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Oliver Pursche Biographical Information**

**Branch Location:** 274 Riverside Avenue, Ste 101, Westport, CT 06880

### **Educational Background and Business Experience**

Mr. Pursche was born in 1970. He received his undergraduate degree in Business Communications and Economics from Bentley University in Waltham, Massachusetts.

Mr. Pursche's career in financial services started as a broker / advisor in 1994. From 1997 to 2003 Mr. Pursche worked on the institutional sales side at Neuberger Berman, after which he spent 15 years at Bruderman Asset Management and its predecessor firm GGFS, as their CEO. Mr. Pursche joined Wealthspire as a Sr. Vice President, Advisor in November 2020.

Mr. Pursche currently has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Pursche does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Pursche is a Senior Vice President at Wealthspire Advisors.

### **Additional Compensation**

Mr. Pursche does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Pursche's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Charles (Chip) Pyfer, CFP®<sup>1</sup>, CIMA®<sup>5</sup>, CPWA®<sup>6</sup> Biographical Information**

**Branch Location:** 100 Smith Ranch Road, Ste 300, San Rafael, CA 94903

### **Educational Background and Business Experience**

Mr. Pyfer was born in 1969. Mr. Pyfer graduated from the University of Oregon with a Bachelor of Arts degree in 1992 and a JD degree from Willamette University College of Law in 1998.

Mr. Pyfer was a Regional Manager with PricewaterhouseCoopers Investment Advisory Group from August 2002 through July 2006. In August 2006, he became the Director of Private Wealth Management at BDO Seidman through August 2008. From 2008 through 2009, Mr. Pyfer was a Financial Advisor with Friedman & Associates, Inc., when in 2009, the firm became Private Ocean, LLC where Mr. Pyfer was an Advisor. Private Ocean, LLC was acquired in December 2021 by Wealthspire Advisors. Mr. Pyfer is a Managing Director and Advisor at Wealthspire Advisors.

Mr. Pyfer is a CERTIFIED FINANCIAL PLANNER™ practitioner, a CERTIFIED INVESTMENT MANAGEMENT ANALYST® and a Certified Private Wealth Advisor® and/or CERTIFIED PRIVATE WEALTH ANALYST<sup>sm</sup>.

### **Disciplinary Information**

Mr. Pyfer does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Pyfer is a Managing Director and Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Pyfer does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Pyfer's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Lauren Rathsack Biographical Information**

**Branch location:** 8170 Maple Lawn Boulevard, Suite 100, Fulton, MD 20759

### **Educational Background and Business Experience**

Ms. Rathsack was born in 2002. She received her Bachelor of Science degree in Finance, Financial Planning Track, from Salisbury University in 2023.

After working as a financial planning summer intern for 2 summers, Ms. Rathsack began her career at Janney Montgomery Scott in February 2024 as a Private Client Associate. Ms. Rathsack joined Wealthspire Advisors in January 2025 as an Advisor Associate.

Ms. Rathsack has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Rathsack does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Rathsack is an Advisor Associate with Wealthspire Advisors.

### **Additional Compensation**

Ms. Rathsack does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Rathsack's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Wyatt Reksten Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Reksten was born in 2001. He graduated with a Bachelor of Business Administration degree, with concentrations in Finance and Management Information Systems, from Binghamton University School of Management in 2023.

Mr. Reksten completed Wealthspire Advisors' Summer 2022 Intern program and joined Wealthspire Advisors as an Advisor Associate in June 2023.

Mr. Reksten has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Reksten does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Reksten is currently an Advisor Associate with Wealthspire Advisors.

### **Additional Compensation**

Mr. Reksten does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Reksten's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Melissa Restivo Biographical Information**

**Branch Location:** 1700 Westlake Ave. N, Ste 325, Seattle, WA 98109

### **Educational Background and Business Experience**

Ms. Restivo was born in 1984. She earned her Bachelor of Arts degree in Society, Ethics and Human Behavior from the University of Washington in 2011 and her Masters in Business Administration from Pacific Lutheran University in 2023.

Ms. Restivo began her career as a Client Service Associate with Filament LLC in January 2014. She continued in that role until joining Parametric Portfolio in August 2018. She joined Wealthspire Advisors in February 2019 and is now an Advisor Associate.

Ms. Restivo has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Restivo does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Restivo is an Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Ms. Restivo does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Restivo's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Gregory K. Reynolds Biographical Information**

**Branch Location:** 521 Fifth Ave, 15th Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Reynolds was born in 1979. Mr. Reynolds graduated from Hobart College in 2001 with a degree in history.

Mr. Reynolds was a registered representative of MML Investor Services, LLC, formerly known as MML Investor Services LLC, an SEC Registered and FINRA member broker-dealer, from March of 2003 through December 31, 2011. Mr. Reynolds joined Wealthspire Advisors-acquired firm Lenox Wealth Advisors, LLC in January 2012. Mr. Reynolds is a Managing Director and Head of Intermediary Business at Wealthspire Advisors.

### **Disciplinary Information**

Mr. Reynolds does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Reynolds is a Managing Director and Head of Intermediary Business at Wealthspire Advisors.

### **Additional Compensation**

Mr. Reynolds does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Reynolds's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Nathaniel Richardson Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Richardson was born in 1999. He graduated from SUNY Geneseo with a Bachelor of Arts degree in Economics.

Prior to joining Wealthspire Advisors in June 2021 as an Advisor Associate, Mr. Richardson completed the summer internship program with Wealthspire Advisors (Summer 2020). Mr. Richardson is now a Senior Advisor Associate.

Mr. Richardson has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Richardson does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Richardson is a Senior Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Mr. Richardson does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Richardson's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Casey Riviezzo, CFP®1 Biographical Information**

**Branch Location:** 521 Fifth Ave, 15th Floor, New York, NY 10175

### **Educational Background and Business Experience**

Ms. Riviezzo was born in 1997. She earned her Bachelor of Science degree in Finance, with a minor in Business Analytics, from Fairfield University in 2019. She also graduated from NYU School of Business of Professional Studies for Financial Planning in 2022.

Ms. Riviezzo joined Wealthspire Advisors-acquired firm Lenox Wealth Advisors, LLC in October 2019 as a Client Service Associate. She then transitioned into a Wealth Associate role in 2021. Ms. Riviezzo is an Assistant Vice President, Advisor at Wealthspire Advisors.

Ms. Riviezzo is a CERTIFIED FINANCIAL PLANNER™ practitioner and has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Riviezzo does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Riviezzo is an Assistant Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Riviezzo does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Riviezzo's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Oona Rokyta Biographical Information**

**Branch Location:** 1 California Street, Suite 200, San Francisco, CA 94111

### **Educational Background and Business Experience**

Ms. Rokyta was born in 1981. Ms. Rokyta earned her Bachelor of Arts degree in Psychology from Carleton College in June 2003. Ms. Rokyta also earned a Certificate in Personal Financial Planning from Northwestern University, School of Professional Studies in October 2022.

Ms. Rokyta was Head of MarComs & Branding at HoneyBook from April 2014 thru December 2023. She worked at Asti Financial Management as an Associate Financial Advisor from February 2023 – April 2024. Ms. Rokyta joined Wealthspire Advisors in April 2024. She is currently a Senior Associate, Advisor.

Ms. Rokyta has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Rokyta does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Rokyta is a Senior Associate, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Rokyta does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Rokyta's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Alix Rosenbaum Biographical Information**

**Branch location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Ms. Rosenbaum was born in 2003. She received her Bachelor of Arts degree in Economics and Psychology from the University of Wisconsin-Madison in 2025.

Ms. Rosenbaum worked as a Wealth Management Strategy Intern at NewEdge Wealth (summer 2024). Ms. Rosenbaum joined Wealthspire Advisors in 2025 as an Advisor Associate.

Ms. Rosenbaum has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Rosenbaum does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Rosenbaum is an Advisor Associate with Wealthspire Advisors.

### **Additional Compensation**

Ms. Rosenbaum does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Rosenbaum's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Stacey Rosenson, CFP® Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Ms. Rosenson was born in 1990. She graduated from the University of Maryland in 2012 with a Bachelor of Science degree in Finance.

Ms. Rosenson was a Client Service Associate for UBS Private Wealth Management in 2013, then worked for Joel Isaacson & Co., LLC, first as an Advisor Associate (2014-2017) and later as a Senior Advisor Associate. Ms. Rosenson joined Wealthspire Advisors' predecessor company, Sontag Advisory LLC, in January 2018 as an Associate Advisor, and was promoted to Senior Advisor Associate in June 2018, then to Assistant Vice President in January 2020. In March 2024, Ms. Rosenson was appointed Senior Vice President, Advisor at Wealthspire Advisors.

Ms. Rosenson is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Ms. Rosenson does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Rosenson is a Senior Vice President at Wealthspire Advisors.

### **Additional Compensation**

Ms. Rosenson does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Rosenson's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Madeline Rowe, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 3201 Enterprise Parkway, Suite 100, Beachwood, OH 44122

### **Educational Background and Business Experience**

Ms. Rowe was born in 2000. She graduated from John Carroll University in 2022 with a dual Bachelor of Science degree in Wealth Management & Financial Planning, and Corporate Finance.

Ms. Rowe began her career with Walden Wealth Partners in June 2022 as a Wealth Management Associate. Walden Wealth Partners was acquired by Wealthspire Advisors in May 2024, where Ms. Rowe is a Senior Advisor Associate.

Ms. Rowe is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Ms. Rowe does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Rowe is a Senior Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Ms. Rowe does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Rowe's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Grant Ruder, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 11911 Freedom Drive, Suite 700, Reston, VA 20190

### **Educational Background and Business Experience**

Mr. Ruder was born in 1985. He graduated from James Madison University in 2007 with a Bachelor of Business Administration degree in Finance.

Mr. Ruder was a Director with Highline Wealth Management, LLC from July 2007 through the firm's acquisition by Wealthspire Advisors' predecessor company, Bronfman Rothschild, in August 2015.

Mr. Ruder is a CERTIFIED FINANCIAL PLANNER™ practitioner. He has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Ruder does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Ruder is a Managing Director at Wealthspire Advisors.

### **Additional Compensation**

Mr. Ruder does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Ruder's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Anthony Sainclair Biographical Information**

**Branch Location:** 8170 Maple Lawn Blvd., Suite 100, Fulton, MD 20759

### **Educational Background and Business Experience**

Mr. Sainclair was born in 1993. He received his Bachelor of Science degree in Economics from the University of Maryland in 2015.

Mr. Sainclair worked at NewDay USA as an Account Executive from January 2016 – March 2022. He joined South River Mortgage as a Senior Loan Officer from May 2022 – February 2023. In May 2023, Mr. Sainclair joined Wealthspire Advisors. He is currently an Advisor Associate.

Mr. Sainclair has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Sainclair does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Sainclair is an Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Mr. Sainclair does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Sainclair's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Katharine Schelhorn, CFP®1 Biographical Information**

**Branch Location:** 11911 Freedom Drive, Suite 700, Reston, VA 20190

### **Educational Background and Business Experience**

Ms. Schelhorn was born in 1988. She graduated from Virginia Tech in 2016 with a Bachelor of Science degree in Finance, with a concentration in Financial Planning.

Ms. Schelhorn was a Financial Advisor at Acorn Financial Services from February 2017 to May 2020. Ms. Schelhorn joined Wealthspire Advisors as a Senior Advisor Associate in 2020. She now serves as a Senior Vice President, Advisor.

Ms. Schelhorn is a CERTIFIED FINANCIAL PLANNER™ practitioner. She has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Schelhorn does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Schelhorn is a Senior Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Schelhorn does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Schelhorn's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Jonah Schachtel Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Schachtel was born in 2001. He received his Bachelor of Arts degree from the University of Wisconsin-Madison in Economics, College of Letters & Science in 2024.

Mr. Schachtel worked as an intern with Summit Financial (summer 2024). He joined Wealthspire Advisors as an Advisor Associate in June 2024.

Mr. Schachtel has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Schachtel does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Schachtel is an Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Mr. Schachtel does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Schachtel's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Sheila M. Schroeder, Biographical Information**

**Branch Location:** 343 Sansome Street, Suite 540, San Francisco, CA 94104

### **Educational Background and Business Experience**

Ms. Schroeder was born in 1961. Ms. Schroeder graduated in 1983 from Indiana University with a Bachelor of Arts degree in Political Science.

From July 2004 through October 2013, Ms. Schroeder was a Division Director, Asian Equity Sales with Macquarie Group. From January 2014 through November 2014, Ms. Schroeder was the Director of Investment Relations with Mountain Lake Investment Management. From September 2015 through October 2018, Ms. Schroeder was the Director of Client Development with Mosaic Financial Partners, Inc. In October 2018, Mosaic Financial Partners, Inc. was acquired by Private Ocean, LLC where Ms. Schroeder was the Business Development Officer. Private Ocean, LLC was acquired in December 2021 by Wealthspire Advisors. Ms. Schroeder is the Regional Head of Business Development.

### **Disciplinary Information**

Ms. Schroeder does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Schroeder is the Regional Head of Business Development at Wealthspire Advisors.

### **Additional Compensation**

Ms. Schroeder does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Schroeder's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **William Schwartz, CPA<sup>4</sup>, CFP<sup>®1</sup> Biographical Information**

**Branch Location:** 12435 Park Potomac Avenue, Suite 500, Potomac, MD 20854

### **Educational Background and Business Experience**

Mr. Schwartz was born in 1966. He graduated from Virginia Tech in 1989 with a Bachelor of Science degree in Accounting.

Mr. Schwartz began his career in 1989 at Arthur Andersen LLC, where he gradually advanced to the role of Tax Senior Manager at the time of his departure in March 2002. He then worked for Merrill Lynch from October 2002 to March 2008, where he progressed to become Vice President/Wealth Management Advisor. He joined Highline Wealth Management as a Managing Director in March 2008 and continued in this role through the firm's acquisition by Wealthspire Advisors' predecessor company, Bronfman Rothschild, in August 2015.

Mr. Schwartz is a Certified Public Accountant and a CERTIFIED FINANCIAL PLANNER™ practitioner. He has also passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Schwartz does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Schwartz is a Managing Director at Wealthspire Advisors.

### **Additional Compensation**

Mr. Schwartz does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Schwartz's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Jacob Scott CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 1640 Huguenot Road, Midlothian, VA 23113

### **Educational Background and Business Experience**

Mr. Scott was born in 1987. He graduated from Niagara University with a Bachelor of Art degree in Communications and Minors in English and Writing Studies in 2009.

Mr. Scott worked for ESL Federal Credit Union as a Financial Service Representative from 2017-2018 prior to joining Paychex as a Retirement Sales Representative, in which he served from 2018-2019. He also was a Licensed Personal Banker for Wells Fargo from 2019-2021. In 2021 he joined AIG Retirement Services as a Retirement Plan Consultant prior to joining Wealthspire Advisors predecessor firm, ACG Advisory Services Inc., in 2022. Mr. Scott is currently an Assistant Vice President, Advisor.

Mr. Scott is a CERTIFIED FINANCIAL PLANNER™ practitioner. Mr. Scott has also successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Scott does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Scott is currently an Assistant Vice President Wealthspire Advisors.

### **Additional Compensation**

Mr. Scott does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Scott's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Garrett Scranton, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 12435 Park Potomac Avenue, Suite 500, Potomac, MD 20854

### **Educational Background and Business Experience**

Mr. Scranton was born in 2000. Mr. Scranton earned his bachelor's degree in Finance from Virginia Polytechnic Institute and State University in 2022.

Prior to October 2020, Mr. Scranton was a student. Mr. Scranton worked as a financial planning intern with Olio Financial Planning from October 2020 through May 2021, with Wealthspire Advisors from June 2021 through August 2021, and with Sagevest Wealth Management from September 2021 through May 2022. Mr. Scranton joined Wealthspire Advisors in June 2022. He is a Senior Advisor Associate.

Mr. Scranton is a CERTIFIED FINANCIAL PLANNER™ practitioner. He has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Scranton does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Scranton is a Senior Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Mr. Scranton does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Scranton's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Stephanie Selbach, CFP<sup>®1</sup>, ChSNC<sup>®26</sup> Biographical Information**

**Branch Location:** 10 Terrace Court, Suite 103, Madison, WI 53718

### **Educational Background and Business Experience**

Ms. Selbach was born in 1994. She graduated from University of Wisconsin – Madison with a Bachelor of Science degree in Personal Finance.

Ms. Selbach was an IRG Intern with Capital Wealth Advisory Group from 2016 to 2017. Prior to joining Wealthspire Advisors, she served as an Associate Advisor with Wipfli Financial Advisors, LLC from 2017 to 2020. Ms. Selbach joined Wealthspire Advisors as a Senior Advisor Associate in 2020. In April 2022, Ms. Selbach was appointed Assistant Vice President, Advisor at Wealthspire Advisors.

Ms. Selbach is a CERTIFIED FINANCIAL PLANNER™ practitioner, and a Chartered Special Needs Consultant® professional. She has also passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Selbach does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Selbach is an Assistant Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Selbach does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Selbach's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Joshua Shoshan, CFP<sup>®</sup><sup>1</sup>, CEPA<sup>21</sup>, APMA<sup>25</sup> Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Shoshan was born in 1966. He holds a Bachelor of Arts degree in English Literature from Northwestern University and a Master of Business Administration in Finance from Columbia University.

Mr. Shoshan previously worked for Deutsche Bank Securities, first as a Vice President of Institutional Equity Sales, Global Markets from 2000 to 2006, then as a Director and Wealth Management Client Advisor from 2006 to 2019. He was a Senior Managing Director for Bruderman Asset Management from 2020 until he joined Wealthspire Advisors in February 2021 as a Senior Vice President.

Mr. Shoshan is a CERTIFIED FINANCIAL PLANNER<sup>™</sup> practitioner and has successfully passed the Series 65 Uniform Investment Adviser Law Examination. He also holds the Certified Exit Planning Advisor credential.

### **Disciplinary Information**

Mr. Shoshan does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Shoshan is a Senior Vice President at Wealthspire Advisors.

### **Additional Compensation**

Mr. Shoshan does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Shoshan's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Kevin Smith, CFP®1 Biographical Information**

**Branch Location:** 12435 Park Potomac Avenue, Suite 500, Potomac, MD 20854

### **Educational Background and Business Experience**

Mr. Smith was born in 1983. He graduated from Bucknell University in 2005 with a Bachelor of Science in Business Administration degree in Management with a minor in Philosophy and received a Financial Planning Certificate from the Georgetown University School of Continuing Studies in 2013.

Mr. Smith held various roles at Convergent Wealth Advisors from 2009 to 2016, ending as an Associate Director. Prior to joining Wealthspire Advisors' predecessor company, Bronfman Rothschild, he was a Wealth Strategist at PagnotoKarp from 2016 to 2018. He joined Bronfman Rothschild in 2018 as an Advisor, Wealth Management. In April 2022, Mr. Smith was appointed Senior Vice President, Advisor at Wealthspire Advisors.

Mr. Smith is a CERTIFIED FINANCIAL PLANNER™ practitioner. He has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Smith does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Smith is a Senior Vice President at Wealthspire Advisors.

### **Additional Compensation**

Mr. Smith does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Smith's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Lily Smith Biographical Information**

**Branch Location:** 11911 Freedom Drive, Suite 700, Reston, VA 20190

### **Educational Background and Business Experience**

Ms. Smith was born in 2002. She earned her Bachelor of Business Administration degree in Finance and Economics from James Madison University in 2025.

Ms. Smith was a Wealth Analyst intern with RS Will Wealth Management (Summer 2023) and a Wealth Advisor intern with Wealthspire Advisors (Summer 2024). Ms. Smith joined Wealthspire Advisors as an Advisor Associate in June 2025.

Ms. Smith has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Ms. Smith does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Smith is an Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Ms. Smith does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Smith's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure

## **Luke S. Smith, CFP<sup>®1</sup> Biographical Information**

**Branch Location:** 1405 Wesley Drive, Suite 32, Salisbury, MD 21801

### **Educational Background and Business Experience**

Mr. Smith was born in 1996. He graduated from Salisbury University in 2018, with a Bachelor of Science degree in Finance with a concentration in Investments.

Mr. Smith was a Financial Advisor at Wells Fargo Advisors for one year before he joined Wealthspire Advisors-acquired firm Strategic Wealth Management, LLC dba StratWealth in January 2019 as a Senior Advisor Associate. In March 2024, Mr. Smith was appointed Vice President, Advisor at Wealthspire Advisors.

Mr. Smith is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Mr. Smith does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Smith is a Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Smith does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Smith's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Benjamin Snediker Biographical Information**

**Branch location:** 29 South Main Street, Suite 300, West Hartford, CT 06107

### **Educational Background and Business Experience**

Mr. Snediker was born in 2000. He received his Bachelor of Science, Finance from Central Connecticut State University in 2024.

Mr. Snediker worked at Town of Simsbury as a Finance Intern from March – June 2023. He also completed the Wealthspire Advisors Summer Intern program in 2023. Mr. Snediker joined Wealthspire Advisors in 2024 as an Advisor Associate.

Mr. Snediker has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Snediker does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Snediker is an Advisor Associate with Wealthspire Advisors.

### **Additional Compensation**

Mr. Snediker does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Snediker's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Gary Sobelman Biographical Information**

**Branch Location:** 12435 Park Potomac Avenue, Suite 500, Potomac, MD 20854

### **Educational Background and Business Experience**

Mr. Sobelman was born in 1963. He received his Bachelor of Science degree in Business and Finance from Elon University in 1985.

Mr. Sobelman was a Regional Director with Convergent Wealth Advisors, LLC from May 2007 to December 2009. Mr. Sobelman was a Managing Director with Highline Wealth Management, LLC from January 2010 through the firm's acquisition by Wealthspire Advisors' predecessor company, Bronfman Rothschild, in August 2015.

Mr. Sobelman has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Sobelman does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Sobelman is a Managing Director at Wealthspire Advisors.

### **Additional Compensation**

Mr. Sobelman does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Sobelman's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## Howard Sontag Biographical Information

**Branch Locations:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175  
3835 PGA Boulevard, Suite 1101, Palm Beach Gardens, FL 33410

### Educational Background and Business Experience

Mr. Sontag was born in 1948. He graduated from St. John's University in 1970 with a Bachelor of Science degree in Business Education. He graduated from St. John's University School of Law in 1975 with a Juris Doctor and New York University Law School in 1979 with a LL.M (*Legum Magister*) in Taxation.

Mr. Sontag began his career in the tax department of a major accounting firm and then held corporate tax positions at two Fortune 500 companies with duties that included dealing with a wide array of tax issues, benefits programs, and executive compensation. He then moved to a national benefits consulting firm where he led the 401(k) team and advised Lazard Frères & Co. and other large corporations on benefits related issues. Next, Mr. Sontag spent thirteen years at Lazard Frères & Co. He served initially as head of both the tax department and benefits group and then, beginning in 1991, as a Senior Executive in charge of business development for the private client group within Lazard's asset management group. Mr. Sontag went on to found Wealthspire Advisors' predecessor company, Sontag Advisory LLC, in 1995.

Mr. Sontag has passed the Series 65 Uniform Investment Adviser Law Examination.

### Disciplinary Information

Mr. Sontag does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### Other Business Activities

Mr. Sontag is the Chairman and a Senior Managing Director at Wealthspire Advisors.

### Additional Compensation

Mr. Sontag does not receive any additional economic benefit from third parties for providing advisory services.

### Supervision

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Sontag's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Martha Simpson Staniford Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Ms. Staniford was born in 1951. She graduated from Smith College in 1973 with a Bachelor of Arts degree in Economics. Ms. Staniford graduated, with distinction, from New York University in 1983 with a Master of Business Administration degree in Finance.

She began her career at Chase Manhattan Bank in their training program in 1973 and rose to Second Vice President as a lending officer. Ms. Staniford next worked as an Acquisition Analyst/Strategic Planner at Rohm & Haas Company, after which she joined GTE Corporation as a Manager of International Treasury & Foreign Exchange. From 1984 to 1998, Ms. Staniford worked at Bankers Trust Company/BT Alex Brown in multiple leadership roles – first as a Managing Director of Banker's Trust Derivatives/Capital Markets Group, then as a Managing Director and Head of the Latin America/Emerging Markets Corporate Finance group, next as a Managing Director and Head of the Latin America Private Banking Division within Bankers Trust's private bank, and finally as a Managing Director of BT Brokerage (the firm's high net worth retail brokerage operation). Ms. Staniford served as Executive Director for CIBC Oppenheimer's Wealth Management Alliance program from October 1998 to February 2003. She joined Wealthspire Advisors' predecessor company, Sontag Advisory LLC, in February 2003 as a Managing Director.

### **Disciplinary Information**

Ms. Staniford does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Staniford is a Managing Director at Wealthspire Advisors.

### **Additional Compensation**

Ms. Staniford does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Staniford's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Karl Stiegmann, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 12435 Park Potomac Avenue, Suite 500, Potomac, MD 20854

### **Educational Background and Business Experience**

Mr. Stiegmann was born in 1994. He graduated from Virginia Polytechnic Institute and State University in 2016 with a Bachelor of Science degree in Finance.

Mr. Stiegmann was a Wealth Management Intern at Advanced Wealth Management, LLC in the summer of 2015 and a Financial Planning Intern at Wealthspire Advisors' predecessor company, Bronfman Rothschild, in the summer of 2016. He joined Bronfman Rothschild fulltime as a Client Associate, Wealth Advisory in 2017. Mr. Stiegmann is now an Assistant Vice President, Advisor at Wealthspire Advisors.

Mr. Stiegmann is a CERTIFIED FINANCIAL PLANNER™ practitioner. He has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Stiegmann does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Stiegmann is an Assistant Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Stiegmann does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Stiegmann's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Karin Maloney Stifler, CFP<sup>®1</sup>, AIF<sup>™11</sup>, CFC<sup>28</sup> Biographical Information**

**Branch Location:** 3201 Enterprise Parkway, Suite 100, Beachwood, OH 44122

### **Educational Background and Business Experience**

Ms. Stifler was born in 1959. Ms. Stifler attended University de Los Andres in Bogota, Columbia in 1980. She attended Miami University of Ohio where she earned her Bachelor of Arts degree in International Studies in 1981. She earned her Master of Business Administration from Northeastern University in 1987.

Ms. Stifler began her career with The Boston Company from 1991 – 1993 where she was a Vice President. She joined Spero-Smith Investment Advisors from 1994 – 1997 as a Senior Financial Planner. From 2000 - 2001 Ms. Stifler was an Analyst and Editor with Morningstar. In 2004, Ms. Stifler joined True Wealth Advisors as a Principal through 2015. She then joined Walden Wealth Partners, LLC as a Managing Director from 2015 – 2024 when Walden Wealth Partners was acquired by Wealthspire Advisors. Ms. Maloney is a Managing Director, Advisor with Wealthspire Advisors.

Ms. Stifler is a CERTIFIED FINANCIAL PLANNER<sup>™</sup> practitioner. She also holds the Accredited Investment Fiduciary<sup>®</sup> designation.

### **Disciplinary Information**

Ms. Stifler does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self- regulatory proceeding.

### **Other Business Activities**

Ms. Stifler is a Managing Director, Advisor with Wealthspire Advisors.

### **Additional Compensation**

Ms. Stifler does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Stifler's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Bryan Stretton, CFP®1 Biographical Information**

**Branch Location:** 11911 Freedom Drive, Suite 700, Reston, VA 20190

### **Educational Background and Business Experience**

Mr. Stretton was born in 1992. He received his Bachelor of Business Administration degree in Finance with a minor in Economics from James Madison University in 2014.

Mr. Stretton was a Financial Advisor for McAdam LLC from May 2014 to August 2015. He joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, in August 2015 as an Associate Wealth Advisor. Mr. Stretton is currently a Vice President, Advisor at Wealthspire Advisors.

Mr. Stretton is a CERTIFIED FINANCIAL PLANNER™ practitioner. He has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Stretton does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Stretton is a Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Stretton does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Stretton's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Benjamin Sullivan, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Sullivan was born in 1999. He graduated from Villanova University with a Bachelor of Business Administration degree in Finance, Real Estate, and Economics.

Prior to joining Wealthspire Advisors in June 2021 as an Advisor Associate, Mr. Sullivan worked as a Wealth Management Intern at Beacon Bridge Wealth Partners (September 2019 to March 2020) and completed the summer internship program with Wealthspire Advisors (Summer 2020). Mr. Sullivan is a Senior Advisor Associate with Wealthspire Advisors.

Mr. Sullivan is a CERTIFIED FINANCIAL PLANNER™ practitioner. He has also successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Sullivan does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Sullivan is a Senior Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Mr. Sullivan does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Sullivan's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Erik Szabocsik, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 900 Bestgate Road, Suite 200, Annapolis, MD 21401

### **Educational Background and Business Experience**

Mr. Szabocsik was born in 1986. He graduated from the University of Central Florida in 2008, with a Bachelor of Science in Finance.

Mr. Szabocsik joined Wealthspire Advisors-acquired firm Strategic Wealth Management, LLC dba StratWealth in December 2019. From January 2009 through October 2010, Mr. Szabocsik was a registered representative of AXA Advisors LLC, and from November 2010 through November 2019, Mr. Szabocsik was an Investor Center Financial Representative, and later a Financial Consultant, with Fidelity Investments and Fidelity Personal and WorkPlace Advisors.

Mr. Szabocsik is a CERTIFIED FINANCIAL PLANNER™ practitioner. He has also successfully passed the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Mr. Szabocsik does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Szabocsik is an Assistant Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Szabocsik does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Szabocsik's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Timothy Talbott, CFP®<sup>1</sup> Biographical Information**

**Branch location:** 100 Smith Ranch Road, Suite 300, San Rafael, CA

### **Educational Background and Business Experience**

Mr. Talbott was born in 1977. He received a Bachelor of Arts degree in Business Administration, with a minor in Psychology, from the College of Idaho (formerly Albertson College of Idaho) in June 2000. Mr. Talbot received a Master of Arts degree in Religious Studies (World Religions) from Naropa University in June 2006.

Mr. Talbott joined Wealthspire Advisors predecessor firm Private Ocean LLC as first a Client Service Representative, then a Paraplanner in 2011. He is a Senior Advisor Associate at Wealthspire Advisors.

Mr. Talbott is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Mr. Talbott does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Talbott is a Senior Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Mr. Talbott does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Talbott's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **John F. Thiel, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 100 Smith Ranch Road, Ste 300, San Rafael, CA 94903

### **Educational Background and Business Experience**

Mr. Thiel was born in 1991. Mr. Thiel graduated from California State University, Sacramento in 2014 with a Bachelor of Science degree in Business Administration and from California Lutheran University in 2020 with a Master of Business Administration degree.

Mr. Thiel began his career in January 2014 as a Financial Representative with Northwestern Mutual. From February 2015 through January 2016, Mr. Thiel was an investment adviser representative with MML Investors Services LLC. From December 2015 through February 2019, Mr. Thiel was an investment adviser representative with Cambridge Investment Research, Inc. Mr. Thiel joined Private Ocean, LLC in March 2019 as an Associate Advisor. Private Ocean, LLC was acquired in December 2021 by Wealthspire Advisors. Mr. Thiel is an Assistant Vice President and Advisor with Wealthspire Advisors.

Mr. Thiel is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Mr. Thiel does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Thiel is an Assistant Vice President and Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Thiel does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Thiel's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Michael Tyler, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 330 East Kilbourn, Suite 1219, Milwaukee, WI 53202

### **Educational Background and Business Experience**

Mr. Tyler was born in 1983. He received his Bachelor of Arts degree in Political Science from the University of Wisconsin-Stevens Point in 2006.

From 2014 to 2017, Mr. Tyler worked for U.S. Bank as a Mutual Fund Representative, then as an Alternative Investments Administrator. He joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, in May 2017 as a Client Service Associate and was promoted to Advisor Associate in October 2019. From October 2023 – September 2024, he worked with WFA Asset Management as a Wealth Advisor, then rejoined Wealthspire Advisors in September 2024 as an Assistant Vice President, Advisor

Mr. Tyler is a CERTIFIED FINANCIAL PLANNER™ practitioner. He has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Tyler does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Tyler is an Assistant Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Tyler does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Tyler's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Karyn Tylicki, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 330 East Kilbourn, Suite 1219, Milwaukee, WI 53202

### **Educational Background and Business Experience**

Ms. Tylicki was born in 1972. She graduated from the University of Wisconsin – Whitewater in 1994 with a Bachelor of Business Administration degree in General Business, with an emphasis in Entrepreneurship.

Ms. Tylicki was employed as a Payroll Specialist/Bookkeeper for Sikich LLP from April 2019 through January 2021. In February 2021 she moved to Ellenbecker Investment Group as a Financial Planner Associate until September 2022. Ms. Tylicki then joined Wealthspire Advisors as a Senior Client Service Associate in September 2022.

Ms. Tylicki is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Ms. Tylicki does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Tylicki is a Senior Client Service Associate at Wealthspire Advisors.

### **Additional Compensation**

Ms. Tylicki does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Tylicki's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Richard P. Van Benschoten, Jr., CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 521 Fifth Ave, 15th Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Van Benschoten was born in 1964. He graduated from Lehigh University in 1987 with a Bachelor of Science degree in Finance, and from New York University in 1992 with a Master of Science degree in Real Estate Development. He has a career agent contract with MassMutual Life Insurance Company since 1987 but does not receive any ongoing commissions on insurance products.

Mr. Van Benschoten served as a Partner of Lenox Advisors, Inc. beginning in 2002 and was appointed Co-President in 2016. In 2018, he joined Wealthspire Advisors-acquired firm Lenox Wealth Advisors, LLC as a Senior Portfolio Manager and later as Chief Operating Officer and Chief Executive Officer. Mr. Van Benschoten now serves as Executive Vice President, Business Development of Wealthspire Advisors.

Mr. Van Benschoten is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Mr. Van Benschoten does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Van Benschoten serves as Executive Vice President, Business Development of Wealthspire Advisors. He has a career agent contract with MassMutual Life Insurance Company but does not receive any ongoing commissions on insurance products.

### **Additional Compensation**

Mr. Van Benschoten does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Van Benschoten's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Serge Villani, CFP®<sup>1</sup>, CRPS®<sup>10</sup> Biographical Information**

**Branch Location:** 110 Country Estates Circle, Reno, NV 89511

### **Educational Background and Business Experience**

Mr. Villani was born in 1965. He received his Bachelor of Science degree in Finance from the Appalachian State University in August 1989. He also earned a Certificate in Financial Planning, CFP® Curriculum in October 2024 from Pepperdine University.

Mr. Villani worked at Empower as a 401(k) Account Manager from December 2014 through August 2017. He was President of Vegas Sports, Inc from May 2007 through Jun 2022. Mr. Villani then joined Fidelity Investments as a Workplace Planning Consultant from June 2022 through August 2025. He joined Wealthspire Advisors as a Vice President, Advisor in August 2025.

Mr. Villani has passed the Series 7 General Securities Representative Exam and the Series 66 Uniform Combined State Law Examination. He is a CERTIFIED FINANCIAL PLANNER™ practitioner and a CHARTERED RETIREMENT PLANS SPECIALIST<sup>SM</sup> designee.

### **Disciplinary Information**

Mr. Villani does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Villani is a Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Villani does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Villani's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Edward von Lange, CFP®<sup>1</sup>, AIF®<sup>11</sup>, CPFA<sup>16</sup> Biographical Information**

**Branch Location:** 8170 Maple Lawn Blvd., Suite 100, Fulton, MD 20759

### **Educational Background and Business Experience**

Mr. von Lange was born in 1957. He graduated from Pennsylvania State University with a Bachelor of Arts degree in Economics.

Mr. von Lange joined Wealthspire Advisors-acquired firm Strategic Wealth Management, LLC dba StratWealth in April 2018 as a Senior Advisor and Head of Business Development. From January 2012 to March 2018, he was a Senior Advisor and Foundation Financial Advisor at Commonwealth Financial Network. In April 2022, Mr. von Lange was appointed Senior Vice President, Advisor at Wealthspire Advisors.

Mr. von Lange is a CERTIFIED FINANCIAL PLANNER™ practitioner, an Accredited Investment Fiduciary® designee, and a Certified Plan Fiduciary Advisor. He has also passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. von Lange does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. von Lange is a Senior Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. von Lange does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. von Lange's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Charles Walker, CFP®<sup>1</sup>, AIF®<sup>11</sup> Biographical Information**

**Branch Location:** 8170 Maple Lawn Blvd., Suite 100, Fulton, MD 20759

### **Educational Background and Business Experience**

Mr. Walker was born in 1964. He graduated from the Roanoke College in 1987, with a Bachelor of Arts Business Administration.

Mr. Walker joined Wealthspire Advisors-acquired firm Strategic Wealth Management, LLC dba StratWealth in February 2019 as a Senior Advisor. From September 2016 through February 2019, he was an Advisor with SunTrust Advisory Services. From April 2014 through September 2016, Mr. Walker was a Client Advisor with SunTrust Bank and SunTrust Investment Services. In April 2022, Mr. Walker was appointed Senior Vice President, Advisor at Wealthspire Advisors.

Mr. Walker is a CERTIFIED FINANCIAL PLANNER™ practitioner and an Accredited Investment Fiduciary® designee.

### **Disciplinary Information**

Mr. Walker does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Walker is a Senior Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Walker does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Walker's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Michèle Walthert, CFP®<sup>1</sup>, CRPC®<sup>2</sup> Biographical Information**

**Branch Location:** 12435 Park Potomac Avenue, Suite 500, Potomac, MD 20854

### **Educational Background and Business Experience**

Ms. Walthert was born in 1979. She graduated from George Mason University in 2001 with a Bachelor of Science degree in Marketing.

Ms. Walthert was an International Financial Advisor and Senior Client Associate with Merrill Lynch, Pierce, Fenner & Smith, Inc. from July 2001 to May 2011. Ms. Walthert joined Highline Wealth Management, LLC as an Associate in May 2011 and was promoted to Director in December 2014. She continued in this role through the firm's acquisition by Wealthspire Advisors' predecessor company, Bronfman Rothschild, in August 2015, after which she became Senior Vice President in October 2019 and Managing Director in January 2020.

Ms. Walthert is a CERTIFIED FINANCIAL PLANNER™ practitioner and a CHARTERED RETIREMENT PLANNING COUNSELOR<sup>SM</sup> professional. She has successfully passed the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Ms. Walthert does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Walthert is a Managing Director at Wealthspire Advisors.

### **Additional Compensation**

Ms. Walthert does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Walthert's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Ian Weinberg, CFP® Biographical Information**

**Branch Location:** 400 Broadhollow Road, Suite 301, Melville, New York 11747

### **Educational Background and Business Experience**

Mr. Weinberg was born in 1963. Mr. Weinberg earned his Bachelor of Science degree in Economics with a degree in Accounting from the Brooklyn College in 1997.

Mr. Weinberg has been a self-employed Wealth manager since May of 1996. He joined Wealthspire Advisors in November 2025 as a Managing Director, Advisor.

Mr. Weinberg is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Mr. Weinberg does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self- regulatory proceeding.

### **Other Business Activities**

Mr. Weinberg is a Managing Director, Advisor with Wealthspire Advisors.

### **Additional Compensation**

Mr. Weinberg does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Weinberg's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Andrew S. Weissman, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 521 Fifth Avenue, 15<sup>th</sup> Floor, New York, NY 10175

### **Educational Background and Business Experience**

Mr. Weissman was born in 1957. He graduated from the Stern School of Business of New York University with both a Bachelor of Science in Computer Applications & Information Systems in 1978 and a Master of Business Administration in 1979. He went on to earn his Juris Doctor degree from Brooklyn Law School in 1985. He has been a member of the New York State Bar Association since June 1986.

Mr. Weissman was with U.S. Trust from 1986 to 2008, first as a Vice President in their Computer Services division and later as Managing Director in their Wealth Management group. He then joined Morgan Stanley as a Financial Advisor from 2009 to 2012. Mr. Weissman was a Senior Vice President, Financial Planning with RDM Financial Group from May 2012 until September 2015 when he joined Cantor Fitzgerald Wealth Partners as a Senior Vice President, Wealth Management Technology. In April 2017, he joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, as a Wealth Advisor.

Mr. Weissman is a CERTIFIED FINANCIAL PLANNER™ practitioner. He has successfully passed the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Mr. Weissman does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Weissman is a Vice President, Senior Wealth Advisor at Wealthspire Advisors.

### **Additional Compensation**

Mr. Weissman does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Weissman's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Joseph Saunders Wiggins, CFP®<sup>3</sup>, AIF®<sup>1</sup> Biographical Information**

**Branch Location:** 1640 Huguenot Road, Midlothian, VA 23113

### **Educational Background and Business Experience**

Mr. Wiggins was born in 1965. He received his Bachelor of Finance degree from the University of North Carolina-Greensboro Bryant School of Business and Economics in 1988. He began his 35-year tenure as a consultant in 1988 with Actuarial Consulting Group, Inc., where he later served as President for Actuarial Consulting Inc. and ACG Advisory Services since 1998. He led the management team for both firms and provided comprehensive wealth management, investment advisory, and qualified plan consulting services for ACG Advisory Services and Actuarial Consulting Group, Inc. Mr. Wiggins also served as the CEO for ACG Advisory Services, Wealthspire Advisors' predecessor company, since 1998, before assuming the role of Managing Director in July 2023.

Mr. Wiggins is a CERTIFIED FINANCIAL PLANNER™ practitioner and holds the Accredited Investment Fiduciary® designation. He has successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Wiggins does not have any disciplinary information to disclose. He has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Mr. Wiggins is a board member of the Cameron Gallagher Foundation. He joined the foundation in January 2014. The Cameron Gallagher Foundation is a non-profit 501(c)(3) organization that promotes the awareness of teen depression and anxiety. This is not an investment-related activity and is not performed during trading hours.

Mr. Wiggins is a Managing Director at Wealthspire Advisors.

### **Additional Compensation**

Mr. Wiggins does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Mr. Wiggins' investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Julie Williams, CFP®<sup>1</sup>, ChFC®<sup>8</sup>, ADPATM<sup>24</sup> Biographical**

## Information

**Branch Location:** 709B Milwaukee Street, Delafield, WI 53018

### **Educational Background and Business Experience**

Ms. Williams was born in 1972. She graduated, *magna cum laude*, from the University of Wisconsin – Whitewater in 1993 with a Bachelor of Arts degree in Psychology. She continued her education and graduated from the University of Wisconsin – Milwaukee in 1999 with a master's degree in Social Welfare.

Ms. Williams was employed with Rose Bertram, LLC from October 2008 to December 2012 as a Director of Operations. She was then employed with Lake Country Wealth Management as a Client Relationship Manager from December 2012 until the firm was acquired by Wealthspire Advisors' predecessor company, Bronfman Rothschild, in May 2015. Ms. Williams serves as a Senior Vice President, Advisor at Wealthspire Advisors.

Ms. Williams is a CERTIFIED FINANCIAL PLANNER™ practitioner, a Chartered Financial Consultant® designee, and an Accredited Domestic Partnership Advisor™ professional. Ms. Williams has successfully passed the Series 66 Uniform Combined State Law Examination.

### **Disciplinary Information**

Ms. Williams does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Williams is a Senior Vice President, Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Williams does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Williams' investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Sarah Wotherspoon, CFP®<sup>1</sup>, CDFA®<sup>3</sup> Biographical Information**

**Branch Location:** 100 Smith Ranch Road, Ste 300, San Rafael, CA 94903

### **Educational Background and Business Experience**

Ms. Wotherspoon was born in 1973. Ms. Wotherspoon graduated from the University of Arizona with a Bachelor of Arts degree in Communications and a Master of Science in Financial Planning degree from the College for Financial Planning.

Ms. Wotherspoon began her career with Bond & Devick Financial Network in St. Louis Park, MN in 2003. From 2005 through 2009, Ms. Wotherspoon was a Financial Advisor with Friedman & Associates, Inc. In 2009, Friedman & Associates became Private Ocean, LLC. Ms. Wotherspoon served as the Director of Wealth Management. Private Ocean, LLC was acquired in December 2021 by Wealthspire Advisors. Ms. Wotherspoon is a Managing Director and Advisor at Wealthspire Advisors.

Ms. Wotherspoon is a CERTIFIED FINANCIAL PLANNER™ practitioner and a CERTIFIED DIVORCE FINANCIAL ANALYST®.

### **Disciplinary Information**

Ms. Wotherspoon does not have any disciplinary information to disclose. She has not: (a) been party to a criminal or civil action in a domestic, foreign, or military court, (b) been party to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority; or (c) been party to a self-regulatory proceeding.

### **Other Business Activities**

Ms. Wotherspoon is a Managing Director and Advisor at Wealthspire Advisors.

### **Additional Compensation**

Ms. Wotherspoon does not receive any additional economic benefit from third parties for providing advisory services.

### **Supervision**

Michael Del Priore is the Chief Compliance Officer for Wealthspire Advisors and is responsible for supervision of Ms. Wotherspoon's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## Professional Designations

<sup>1</sup> CERTIFIED FINANCIAL PLANNER™ certification or the CFP® mark:

Certified Financial Planner Board of Standards, Inc. (CFP Board) owns the certification marks CFP®, CERTIFIED FINANCIAL PLANNER™, and CFP® (with plaque design) in the United States, which it authorizes use of by individuals who successfully complete CFP Board's initial and ongoing certification requirements.

The CFP® certification is granted by the CFP Board. The certification is voluntary; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education - Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services and attain a bachelor's degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination - Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- Experience - Complete at least three years of full-time financial planning-related experience (or equivalent, measured as 2,000 hours per year); and
- Ethics - Agree to be bound by CFP Board's *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education - Complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial planning field; and
- Ethics - Renew an agreement to be bound by the *Standards of Professional Conduct*. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interest of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

<sup>2</sup> **CHARTERED RETIREMENT PLANNING COUNSELOR<sup>SM</sup> designation or the CRPC® mark:**

CHARTERED RETIREMENT PLANNING COUNSELOR<sup>SM</sup> and CRPC® are trademarks or registered service marks of the College for Financial Planning in the United States and/or other countries.

The CHARTERED RETIREMENT PLANNING COUNSELOR<sup>SM</sup> and CRPC® designation program focuses on the pre- and post-retirement needs of individuals, allowing one to transform the retirement planning process into a positive experience. Enrollment in the program allows one to study a variety of principles in the retirement planning field. The program guides one through the retirement process from start to finish, addressing issues such as estate planning and asset management.

The College for Financial Planning awards the CHARTERED RETIREMENT PLANNING COUNSELOR<sup>SM</sup> and CRPC® designations to students who:

- successfully complete the program;
- pass the final examination; and
- comply with the Code of Ethics, which includes agreeing to abide by the Standards of Professional Conduct and Terms and Conditions. Applicants must also disclose of any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct. Conferment of the designation is contingent upon the College for Financial Planning's review of matters either self-disclosed or which are discovered by the College that are required to be disclosed.

Students must sign and return the Code of Ethics forms within six months of passing the final exam. Failure to complete and submit the forms within this time frame may result in termination of the individual's candidacy. If an individual wishes to apply for authorization to use the Marks in the future, he or she may be required to fulfill the initial designation requirements in place at the time of passing the exam.

Successful students receive a certificate and are granted the right to use the designation on correspondence and business cards for a two-year period.

Continued use of the CRPC® designation is subject to ongoing renewal requirements. Every two years individuals must renew their right to continue using the CRPC® designation by:

- completing 16 hours of continuing education;
- reaffirming to abide by the Standards of Professional Conduct, Terms and Conditions, and self-disclose any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct; and

- paying a biennial renewal fee of \$75.

<sup>3</sup> CERTIFIED DIVORCE FINANCIAL ANALYST® certification or the CDFA® mark:

CERTIFIED DIVORCE FINANCIAL ANALYST® or CDFA® professionals must develop their theoretical and practical understanding and knowledge of the financial aspects of divorce by completing a comprehensive course of study approved by the Institute for Divorce Financial Analysts (IDFA). CDFA® professionals must have two years minimum experience in a financial or legal capacity prior to earning the right to use the CDFA® certification mark.

The CDFA® certification is a professional certification granted by the IDFA. To attain the right to use the CDFA® mark, an individual must satisfactorily fulfill the following requirements:

- Education: Candidates must develop their theoretical understanding and knowledge of the financial aspects of divorce by completing a comprehensive course of study approved by the IDFA.
- Examination: Candidates must pass a four-part Certification Examination that tests their understanding and knowledge of the financial aspects of divorce. In addition, candidates must demonstrate the practical application of this knowledge in the divorce process.
- Experience: Candidates must have a minimum of three years' experience in a financial or legal capacity prior to earning the right to use the CDFA® certification mark.
- Ethics: Candidates agree to abide by a strict code of professional conduct known as the "Code of Ethics and Professional Responsibility," which sets forth their ethical responsibilities to the public, clients, employers, and other professionals. The IDFA may perform a background check during this process, and each candidate for CDFA® certification must disclose any investigations or legal proceedings relating to his or her professional or business conduct. Individuals who become certified must complete the following ongoing education requirements in order to maintain the right to continue to use the CDFA® mark:
- Continuing Education: Minimum of 15 hours of continuing education every two years, that are specifically related to the field of divorce.
- Ethics: Must voluntarily disclose any public, civil, criminal, or disciplinary actions that may have been taken against them during the past two years as part of the renewal process. If a complaint has been brought against a CDFA® certificant by another professional or member of the general public, the CDFA® certificant must be examined and cleared by IDFA's Ethics Committee to maintain their designation.

<sup>4</sup> Certified Public Accountant (CPA):

Certified Public Accountant (CPA) Minimum Qualifications: CPA is the statutory title of qualified accountants in the United States who have passed the Uniform Certified Public Accountant Examination and have met additional state education and experience requirements for certification as a CPA. In most U.S. states, only CPAs who are licensed are able to provide to the public attestation (including auditing) opinions on financial statements. In order to become a CPA in the United States, a candidate must sit for and pass the Uniform Certified Public Accounts Examinations (Uniform CPA Exam), which is set by the American Institute of Certified Public Accountants and administered by the National

Association of State Boards of Accountancy. In addition to the CPA exam, most states also require the completion of a special examination on ethics and that specific education and work experience minimums are met. CPAs are also required to take continuing education courses in order to renew their license. Requirements vary by state, but the majority of states require 120 hours of CPE every 3 years with a minimum of 20 hours per calendar year.

<sup>5</sup> Certified Investment Management Analyst® (or CIMA®) certification:

The Investments & Wealth Institute® (“Institute”) f/k/a Investment Management Consultants Association® (“IMCA®”) is the owner of the certification marks “CIMA®” and “Certified Investment Management Analyst®.” Use of CIMA®, and/or Certified Investment Management Analyst® signifies that the user has successfully completed the Institute’s initial and ongoing credentialing requirements for investment management professionals.

Certified Investment Management Analyst® Certification Minimum Qualifications: The CIMA® certification signifies that an individual has met initial and on-going experience, ethical, education, and examination requirements for investment management consulting, including advanced investment management theory and application. Prerequisites for the CIMA® certification are three years of financial services experience and an acceptable regulatory history. To obtain the CIMA® certification, candidates must pass an online Qualification Examination, successfully complete a one-week classroom education program provided by a Registered Education Provider at an AACSB accredited university business school, pass an online Certification Examination, and have an acceptable regulatory history as evidenced by FINRA Form U4 or other regulatory requirements. CIMA® designees are required to adhere to the Institute’s *Code of Professional Responsibility, Standards of Practice, and Rules and Guidelines for Use of the Marks*. CIMA® designees must report 40 hours of continuing education credits, including two ethics hours, every two years to maintain the certification. The designation is administered through the Institute.

<sup>6</sup> Certified Private Wealth Advisor® and/or Certified Private Wealth Analyst<sup>SM</sup> (or CPWA®) certification:

The Investments & Wealth Institute® (“Institute”) f/k/a Investment Management Consultants Association® (“IMCA®”) is the owner of the certification and service marks “CPWA®,” “Certified Private Wealth Advisor®,” and “Certified Private Wealth Analyst<sup>SM</sup>. “Use of CPWA®, Certified Private Wealth Advisor®, and/or Certified Private Wealth Analyst<sup>SM</sup> signifies that the user has successfully completed the Institute’s initial and ongoing credentialing requirements for investment management professionals.

Certified Private Wealth Advisor® Certification Minimum Qualifications: 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. 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 U4 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 Institute's Code of 14 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 two years to maintain the certification. The designation is administered through the Institute.

<sup>7</sup> Chartered Financial Analyst® designation or the CFA® mark:

CFA® and Chartered Financial Analyst® are registered trademarks owned by CFA Institute.

The Chartered Financial Analyst® or 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.

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 member; 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
- 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 19 countries recognize the CFA charter as 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 investment, 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.

<sup>8</sup> Chartered Financial Consultant® designation or the ChFC® mark:

The ChFC® mark is the property of The American College, which reserves sole rights to its use, and is used by permission.

The Chartered Financial Consultant® or ChFC® designation identifies financial professionals who have completed extensive education and application training in all aspects of financial planning, income taxation, investments and estate and retirement planning. Individuals who hold the ChFC® designation have completed nine college-level courses, and successfully passed closed-book, proctored exams, on all aspects of financial planning from The American College, a non-profit educator with the highest level of academic accreditation, and have at least three years of full-time, relevant business experience at the time of designation. ChFC® professionals must adhere to The American College's Code of Ethics and complete 30 hours of continuing education every two years.

<sup>9</sup> Chartered Life Underwriter® designation or the CLU® mark:

The CLU® mark is the property of The American College, which reserves sole rights to its use, and is used by permission.

The Chartered Life Underwriter or CLU® designation identifies financial professionals who have a thorough understanding of a broad array of personal risk management and life insurance planning issues. Individuals who hold the CLU® designation have completed eight college-level courses, and successfully passed closed-book, proctored exams, from The American College, a non-profit educator with the highest level of academic accreditation, and have at least three years of full-time, relevant business experience at the time of designation. CLU® professionals must adhere to The American College's Code of Ethics and complete 30 hours of continuing education every two years.

<sup>10</sup> CHARTERED RETIREMENT PLANS SPECIALIST<sup>SM</sup> designation or the CRPS® mark:

CHARTERED RETIREMENT PLANS SPECIALIST<sup>SM</sup> and CRPS® are trademarks or registered service marks of the College for Financial Planning in the United States and/or other countries.

The CHARTERED RETIREMENT PLANS SPECIALIST<sup>SM</sup> or CRPS® designation is for financial professionals who design, install, and maintain retirement plans for the business community. Individuals who hold the CRPS® designation have completed ten modules of study, and successfully passed a closed-book, proctored exam, from the College for Financial Planning. CRPS® professionals must adhere to the College of Financial Planning's Standards of Professional Conduct and complete 16 hours of continuing education every two years.

<sup>11</sup> Accredited Investment Fiduciary® designation or the AIF® mark:

The Center for Fiduciary Studies owns the mark AIF®, which it awards to individuals who successfully complete initial and ongoing accreditation requirements.

The Accredited Investment Fiduciary® or AIF® designation certifies that the recipient has specialized knowledge of fiduciary standards of care and their application to the investment management process. To receive the AIF® designation, financial professionals must complete a training program, successfully pass a comprehensive, closed-book final examination under the supervision of a proctor, and agree to abide by the AIF® Code of Ethics. In order to maintain the AIF® designation, the individual must annually renew their affirmation of the AIF® Code of Ethics and complete six hours of continuing education credits. The certification is administered by the Center for Fiduciary Studies, LLC.

<sup>12</sup> Behavioral Financial Advice (BFA™):

The Behavioral Financial Advice (BFA™) designation identifies financial professionals who have an understanding of the moral and emotional competencies necessary to help make better decisions throughout the financial planning process. Individuals who hold the BFA designation have completed two courses and corresponding course exams related to behavioral finance, and successfully passed a timed, proctored final certification exam from Kaplan Financial Education and Think2Perform. BFA professionals must complete 20 hours of continuing education every two years.

<sup>13</sup> Certification in Long-Term Care designation or the CLTC® mark:

The Certification in Long-Term Care or CLTC® designation identifies financial professionals who have an understanding of the severe consequences a need for care over an extended period of years would have, not on their client, but on the emotional, physical, and financial wellbeing of those the client loves. CLTC® professionals have the proper skill set to discuss those consequences, offer a plan to mitigate them, and when appropriate, recommend long-term care insurance as a funding source for that plan. Individuals who hold the CLTC® designation have completed coursework related to the core competencies of long-term care services, Medicare, Medicaid, veterans benefits, self-funding, LTC insurance, and many other important concepts, and have successfully passed a final course exam from the CLTC® Board of Standards, Inc. CLTC® professionals must adhere to the principles specified in the CLTC® Code of Professional Responsibility, and also complete the CLTC® renewal course or state mandated Long-Term care training every two years.

<sup>14</sup> Certified Divorce Specialist (CDS):

The Certified Divorce Specialist (CDS) designation identifies professionals who are equipped with valuable divorce-specific information and a customized communications skillset to work with and collaborate on divorce cases. Individuals who hold the CDS designation have completed a 16-hour course and passed a corresponding online program assessment with a grade of 75% or higher. CDS professionals must pay an annual reinstatement fee and are required to submit 10 hours of divorce-specific continuing education every two years.

<sup>15</sup> Certified Exit Planner (CExP™)

The Certified Exit Planner (CExP™) designation identifies professionals with knowledge of

comprehensive Exit Planning advisor services for the business owner community. Individuals who hold the CExP™ designation have completed 100-120 hours of online education and self-paced study, ten online course exams, and two sample Exit Plan exams using Business Enterprise Institute, Inc.'s Exit Plan creation software. CExP™ professionals are required to submit 30 hours of continuing education every two years.

<sup>16</sup> Certified Plan Fiduciary Advisor (CPFA):

The Certified Plan Fiduciary Advisor (CPFA) designation is for financial professionals who have demonstrated the expertise required to act as a plan fiduciary or help plan fiduciaries manage their roles and responsibilities. Individuals who hold the CPFA designation have completed the CPFA course of study, and successfully passed a closed-book, proctored exam, from the National Association of Plan Advisors. CPFA professionals must complete 20 hours of continuing education every two years.

<sup>17</sup> ACCREDITED ASSET MANAGEMENT SPECIALIST<sup>SM</sup> designation or the AAMS<sup>®</sup> mark:

ACCREDITED ASSET MANAGEMENT SPECIALIST<sup>SM</sup> and AAMS<sup>®</sup> are trademarks or registered service marks of the College for Financial Planning in the United States and/or other countries.

The AAMS<sup>®</sup> designation is awarded by the College for Financial Planning to investment professionals who complete its 12-module AAMS<sup>®</sup> Professional Education Program, pass an examination, commit to a code of ethics, and agree to pursue continuing education. Continued use of the AAMS<sup>®</sup> designation is subject to ongoing renewal requirements. Every two (2) years the designee must renew their right to continue using the AAMS<sup>®</sup> designation by completing 16 hours of continuing education and reaffirming to abide by the Standards of Professional Conduct.

<sup>18</sup> Certified Estate Planner<sup>™</sup> designation or the CEP<sup>®</sup> mark:

The CEP<sup>®</sup> (Certified Estate Planner<sup>™</sup>) is a trademark registered with the United States Patent and Trademark Office, and is solely owned by the NICEP, Inc. ("NICEP"). This certification mark is awarded to individuals who successfully complete the NICEP certification requirements and who also comply with annual maintenance requirements.

Individuals who hold the CEP<sup>®</sup> (Certified Estate Planner<sup>™</sup>) designation have completed eight (8) modules of rigorous coursework through a combination of online and self-study, typically over a 5-6 month period, and successfully passed a closed-book, proctored examination from the NICEP. To maintain the certification, CEP<sup>®</sup> professionals must satisfy an annual certification fee and complete eight (8) hours of continuing education in the area of estate planning every two years. In addition, CEP<sup>®</sup> professionals must adhere to the NICEP professional code of ethics which requires model business behavior, compliance with State and Federal licensing authorities, compliance with represented professional companies and organizations, proper notification procedures, and submission to the findings and rulings of the NICEP with regard to the continued use of any certification which is conferred by the NICEP.

<sup>19</sup> CHARTERED MUTUAL FUND COUNSELOR<sup>SM</sup> designation or the CMFC<sup>®</sup> mark:

CHARTERED MUTUAL FUND COUNSELOR<sup>SM</sup> and CMFC<sup>®</sup> are trademarks or registered service marks

of the College for Financial Planning in the United States and/or other countries.

The CMFC® designation is awarded by the College for Financial Planning to investment professionals who complete its 9-module CMFC® self-study course, pass a final designation examination, commit to a code of ethics, and agree to pursue continuing education. Continued use of the CMFC® designation is subject to ongoing renewal requirements. Every two (2) years, the designee must renew their right to continue using the CMFC® designation by completing 16 hours of continuing education and reaffirming to abide by the Standards of Professional Conduct.

<sup>20</sup> Financial Paraplanner Qualified Professional™ (FPQP™):

Individuals who hold the FPQP™ designation have completed a course of study encompassing the financial planning process; the five disciplines of financial planning; and general financial planning concepts, terminology, and product categories. Additionally, individuals enrolled in the program, after passing the final exam, must complete a three-month long internship program in which they obtain verification from their immediate supervisor or employer documenting their mastery of the following financial planning-related skills:

- adequate verbal and communication skills;
- ability to use at least one type of financial planning software;
- ability to read and extract information for data gathering purposes from a client's financial documents, including insurance policies (life, medical, disability, property/liability), investment records, tax returns, wills/trusts, retirement, and property holding documents;
- ability to construct personal financial statements, including balance sheets (statement of financial position) and income statements; and
- ability to review and analyze information to identify basic strengths and weaknesses in a client's financial situation relating to risk management issues, investment issues, income tax issues, retirement issues, and general issues (e.g., emergency funds, level of debt, budgeting, saving patterns, net worth fluctuations).

<sup>21</sup> Certified Exit Planning Advisor (CEPA):

The Certified Exit Planning Advisor (CEPA) credential is for financial professionals who have demonstrated the expertise required to integrate exit strategy into business, personal, and financial goals of business owners. Individuals who hold the CEPA credential have completed the five-day CEPA course of study and successfully passed a closed-book, proctored exam, from the Exit Planning Institute. CEPA professionals must complete 40 hours of continuing education every three years.

<sup>22</sup> Certified Financial Transitionist® (CeFT®):

The Certified Financial Transitionist® (CeFT®) designation is for financial professionals who have met established standards of knowledge, experience, and competence required to excel in financial planning, investment, and advisory services with regard to financial transitions planning. Individuals who hold the CeFT® designation have completed a 12-month core training program and successfully passed a daylong, closed-book exam comprised of multiple-choice questions, structured response, essays, and live role-playing, hosted by the Financial Transitionist® Institute. CeFT® professionals must complete 15 hours of continuing

education every year, including 10 hours through the Financial Transitionist® Institute.

<sup>23</sup> Chartered Advisor in Philanthropy® (CAP®)

The Chartered Advisor in Philanthropy® (CAP®) designation is for financial professionals who have met established standards of knowledge and skills to help clients articulate and advance their highest aspirations for philanthropic giving. The CAP® program is comprised of graduate-level courses designed to ensure the financial professional is equipped to aid wealthy and ultra-wealthy families plan their philanthropic legacies. Individuals who hold the CAP® designation have at least three years full-time relevant business experience, completed a 12-month core training program and successfully passed an objective exam. They must also complete a Professional Recertification Program every 2 years that includes 30 hours of continuing education.

<sup>24</sup>Accredited Domestic Partnership Advisor™ (ADPA™)

The Accredited Domestic Partnership Advisor™ credential is for financial professionals who have demonstrated the expertise required to address the unique planning needs specific to unmarried, coupled persons. Individuals who hold the ADPA credential have gained an understanding of how planning differences for domestic partners compared to legally married couples manifest themselves in the individual domains of financial planning and will help the ADPA holder analyze and evaluate alternative planning techniques pertaining to wealth transfers, federal taxation laws, retirement laws and benefits, and planning for end-of-life needs.

<sup>25</sup>Accredited Portfolio Management AdvisorSM(APMA®)

The Accredited Portfolio Management AdvisorSM (APMA®) program is a designation program for financial professionals who have demonstrated knowledge and expertise in portfolio creation, augmentation, and maintenance. Individuals who hold the APMA® designation have completed the APMA® course of study and successfully passed a closed-book, final exam. APMA® professionals must complete 16 hours of continuing education every 2 years.

<sup>26</sup>Chartered Special Needs Consultant® (ChSNC®)

The Chartered Special Needs Consultant® (ChSNC®) is for financial professionals who have developed specialized knowledge of the contemporary issues important to those requiring special needs financial planning, including tax planning, SSI, special needs trusts, and other federal benefits, estate planning, life insurance options and helping prepare those with special needs for the costs of long-term care through the management of healthcare planning and Medicaid complexities. Individuals holding the ChSNC® designation have completed the ChSNC® course of study and successfully passed an exam. The individual must also have five years of relevant business experience and complete 30 credit hours of continuing education every 2 years.

<sup>27</sup> Charted Alternative Investment Analyst (CAIA®)

The Charted Alternative Investment Analyst (CAIA®) program is a designation program established and awarded by CAIA Association seeking to improve investment and societal

outcomes of capital allocation through professional education, transparency, and thought leadership across all investor alternatives in the financial services industry. To become a CAIA charter holder, candidates must pass two levels of examinations on a wide range of alternative investment topics, including ethical and professional standards, hedge funds, real assets, private equity, structured products, due diligence, and risk management. In addition, CAIA charter holders must possess a bachelor's degree from an accredited institution, have at least one year of acceptable professional experience in the alternative investment field and must commit to abide by, and annually reaffirm, their adherence to the CFA® Institute Code of Ethics and Standards of Professional Conduct.

<sup>28</sup>Certified Financial Counselor™ (CFC™)

Certified Financial Counselor™ certificate holders have completed a course of study that equips them with the knowledge and skills to fulfill the role of financial counselor, which encompasses the principles of behavioral finance and financial planning psychology. Individuals who hold the CFC™ designation have completed a 12-class course of study. To maintain the CFC™ designation, professionals are required to complete two refresher classes annually. Additional classes will be scheduled when the S&P 500 closing price drops 20% from its closing high.