



**WEALTHSPIRE**  
ADVISORS

**Wealthspire Advisors LLC**  
**Part 2B Brochure Supplement**

**Corporate Office:**

**521 Fifth Avenue**

**15<sup>th</sup> Floor**

**New York, NY 10175**

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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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## **Michael LaMena, AIF<sup>®11</sup> Biographical Information**

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

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

Mr. LaMena was born in 1973. He received his Bachelor of Arts degree in English from the University of Notre Dame in 1995.

Mr. LaMena has over 20 years' experience building, operating, and leading global wealth management organizations. He began his career in 1995 with a year of service as a volunteer high school teacher at Mount St. Michael Academy in the Bronx, NY. Mr. LaMena then started his 14-year tenure at Morgan Stanley & Co., where he served as Executive Director of Private Wealth Management Operations in New York, as well as Executive Director of Private Wealth Management for Asia in Hong Kong. Next, he spent 7 years at HighTower, serving as Chief Operating Officer and later as President, playing an instrumental leadership role in scaling that business from a start-up organization to a nationally recognized financial services firm with more than \$50 billion in assets and more than 600 employees. Mr. LaMena joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, as President and Chief Operating Officer in September 2017 and assumed the role of Chief Executive Officer in May 2019.

Mr. LaMena holds the Accredited Investment Fiduciary<sup>®</sup> designation.

### **Disciplinary Information**

Mr. LaMena 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. LaMena is the Chief Executive Officer of Wealthspire Advisors. He is also the Chief Executive Officer of Strategic Wealth Management Group, LLC dba Wealthspire Advisors, a separate registered investment adviser and subsidiary company of NFP Corp.

### **Additional Compensation**

Mr. LaMena 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. LaMena'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 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<sup>®</sup> 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 and Chief Operating Officer of Wealthspire Advisors. He is also the President and Chief Operating Officer of Strategic Wealth Management Group, LLC dba Wealthspire Advisors, a separate registered investment adviser and subsidiary company of NFP Corp.

### **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.

## **Hoyt Stastney, J.D. Biographical Information**

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

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

Mr. Stastney was born in 1972. He received his Bachelor of Arts degree in Political Science, History and Latin from the University of North Dakota in 1993. He received his Juris Doctor from the University of Minnesota Law School in 1997.

Mr. Stastney was an equity partner and attorney in the Milwaukee office of the national law firm Quarles & Brady LLP, a firm he joined in 1997. He joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, in April 2016 as General Counsel, and he assumed the additional responsibility of Chief Compliance Officer from January 2017 to January 2020. He now serves as the General Counsel and Head of Mergers & Acquisitions for Wealthspire Advisors.

### **Disciplinary Information**

Mr. Stastney 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. Stastney is the General Counsel, Head of Mergers & Acquisitions, and Managing Director of Wealthspire Advisors, as well as for Strategic Wealth Management Group, LLC dba Wealthspire Advisors, a separate registered investment adviser and subsidiary company of NFP Corp. He is also a member of the Board of Directors of RueOne Investments LLC, an unaffiliated private equity firm located in New York City.

### **Additional Compensation**

Mr. Stastney 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. Stastney'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 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 the Chief Compliance Officer and a Senior Vice President at Wealthspire Advisors. He is also the Chief Compliance Officer and a Senior Vice President at Strategic Wealth Management Group, LLC dba Wealthspire Advisors, a separate registered investment adviser and subsidiary company of NFP Corp.

### **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. Mr. Del Priore's activities are monitored by Hoyt Stastney, General Counsel. Mr. Stastney can be reached at 608.416.4410.

## **Laura Barry, CFP®<sup>1</sup>, CLTC®<sup>13</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 gained experience in Advisor Channel Sales with Heartland Advisors, Inc., and served as a Wealth Management Advisor for Baker Tilly Virchow Krause 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 Senior Vice President, Wealth Management and Planning in October 2019.

Ms. Barry is a CERTIFIED FINANCIAL PLANNER™ practitioner and holds the Certification in Long-Term Care designation.

### **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 Senior Vice President, 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.

## **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.

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 an Assistant 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.

## **Stacey Berson, 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. Berson was born in 1990. She graduated from the University of Maryland in 2012 with a Bachelor of Science degree in Finance.

Ms. Berson 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. Berson 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.

Ms. Berson is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

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

### **Additional Compensation**

Ms. Berson 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. Berson'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 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 an Assistant 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.

## **Sandeep Brion Biographical Information**

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

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

Ms. Brion was born in 1972. She graduated from Pune University with a Bachelor of Engineering degree and went on to earn a Master of Business Administration degree from the University of Wisconsin – Madison’s Applied Securities Analysis Program.

Ms. Brion was a Research Analyst with Associated Bank from July 2009 to January 2011, and a Portfolio Manager with Morgan Dempsey Capital Management from April 2011 to December 2020. She joined Wealthspire Advisors in January 2021 as a Vice President.

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

### **Disciplinary Information**

Ms. Brion 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. Brion is a Vice President at Wealthspire Advisors.

### **Additional Compensation**

Ms. Brion 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. Brion’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.

## **Michael Burke, CPA<sup>4</sup> Biographical Information**

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

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

Mr. Burke was born in 1949. He graduated from the University of Maryland in 1971 with a Bachelor of Science degree.

Mr. Burke was an Investment Advisor Representative with TriCapital Advisors, Inc. from 2000 until the firm's acquisition by Bronfman Rothschild in February 2017. Mr. Burke is the President of Yorke, Burke & Lee, CPAs and has been with the firm since 1971. He has been a Board Member and Chairman of the Audit Committee for Capital Bank since 1999 and also a Board Member of the National Foundation for Cancer Research since 2006.

Mr. Burke is a Certified Public Accountant and has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Burke 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. Burke is a Senior Vice President, Wealth Advisory at Wealthspire Advisors. He is the President of Yorke, Burke, & Lee, CPAs.

### **Additional Compensation**

Mr. Burke 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. Burke'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>, CDFP®<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 Advisors' predecessor company, 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.

Ms. Campbell is a CERTIFIED FINANCIAL PLANNER™ practitioner, an Accredited Investment Fiduciary® designee, a CERTIFIED DIVORCE FINANCIAL ANALYST® 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 Vice President, Advisor at Wealthspire Advisors. She is also a Vice President, Advisor at Strategic Wealth Management Group, LLC dba Wealthspire Advisors, a separate registered investment adviser and subsidiary company of NFP Corp.

### **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>1</sup>, CDFA®<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 CERTIFIED FINANCIAL PLANNER™ practitioner and a CERTIFIED DIVORCE FINANCIAL ANALYST® 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 an Advisor Associate 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.

## **Brion S. Collins, 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. Collins was born in 1971. He graduated summa cum laude from Northwestern University in 1993 with a Bachelor of Science degree in Chemical Engineering.

Mr. Collins was the managing member of Lake Country Wealth Management from July 2009 until the firm was acquired by Wealthspire Advisors' predecessor company, Bronfman Rothschild, in May 2015.

Mr. Collins is a CERTIFIED FINANCIAL PLANNER<sup>™</sup> practitioner, a Chartered Financial Consultant<sup>®</sup> designee, and a Chartered Life Underwriter<sup>®</sup> professional. He also successfully passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Collins 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. Collins is a Managing Director at Wealthspire Advisors.

### **Additional Compensation**

Mr. Collins 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. Collins' investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

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

**Branch Location:** 301 Yamato Road, Suite 3194, Boca Raton, FL 33431

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

Mr. Couper was born in 1986. He is a 2009 graduate of Johnson & Wales University with a Bachelor of Science, *summa cum laude*, in Entrepreneurship and Financial Services Management.

Mr. Couper is an active member of the Palm Beach Chamber of Commerce in Florida. Mr. Couper joined Wealthspire Advisors' predecessor firm, Sontag Advisory LLC, in 2014 and serves as an Advisor, helping clients with all aspects of holistic wealth management including investments, insurance, retirement, tax, estate and financial planning. Before joining Sontag Advisory LLC, he worked as a Financial Advisor, primarily focused on risk and wealth management, both at AXA Equitable from 2009 to 2010 and at Penn Mutual from 2010 to 2014.

Mr. Couper is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

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

### **Additional Compensation**

Mr. Couper 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. Couper'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>, CRPC<sup>®2</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.

Ms. Cox is a CERTIFIED FINANCIAL PLANNER<sup>™</sup> practitioner and a CHARTERED RETIREMENT PLANNING COUNSELOR<sup>SM</sup> professional. 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 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.

## **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.

## **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.

## **Gary P. Desjardins, CFP®<sup>1</sup>, AIF®<sup>11</sup>, CRPS®<sup>10</sup>, CEP®<sup>19</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' predecessor company, 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. He is also a Managing Director, Advisor at Strategic Wealth Management Group, LLC dba Wealthspire Advisors, a separate registered investment adviser and subsidiary company of NFP Corp.

### **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.



## 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 Senior Vice President 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 Senior Vice President 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:** 11800 Sunrise Valley Drive, Suite 310, Reston, VA 20191

### **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.

Mr. Dillie is also 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 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®<sup>1</sup> 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 also a CERTIFIED FINANCIAL PLANNER™ practitioner. Ms. Dobbs currently has 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. Dobb'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 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 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 Advisor Associate 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 also 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 Vice President 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.

## **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' predecessor company, 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. He is also a Managing Director, Advisor at Strategic Wealth Management Group, LLC dba Wealthspire Advisors, a separate registered investment adviser and subsidiary company of NFP Corp.

### **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.

## **Donald B. Farren, CFP®<sup>1</sup> Biographical Information**

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

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

Mr. Farren was born in 1949. He graduated from Benjamin Franklin University in 1975 (*Now part of George Washington University*) with a Bachelor of Commercial Science degree in Accounting.

Mr. Farren was the Managing Partner of Farren, Lanman and Associates, CPA's from 1978 until the firm merged with Squire Lemkin & Company, CPA's in 2006 where he continues to serve as an independent consultant to the firm. Mr. Farren was affiliated with TriCapital Advisors, Inc. as a licensed Investment Advisor Representative and was the firm's Director of Financial Planning from 2001 until the firm's acquisition by Bronfman Rothschild in February 2017.

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

### **Disciplinary Information**

Mr. Farren 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. Farren is a Senior Vice President, Wealth Advisory at Wealthspire Advisors. He is an independent consultant to Squire, Lemkin & Company, CPA's.

### **Additional Compensation**

Mr. Farren 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. Farren'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.



## **Stephanie Forrester, CFP®<sup>1</sup>, AIF®<sup>11</sup> Biographical Information**

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

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

Ms. Forrester was born in 1994. She graduated from University of Wisconsin – Madison with a Bachelor of Science degree in Personal Finance.

Ms. Forrester 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. Forrester joined Wealthspire Advisors as a Senior Advisor Associate in 2020.

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

### **Disciplinary Information**

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

### **Additional Compensation**

Ms. Forrester 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. Forrester'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 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 Senior Vice President, Wealth Advisory 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 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 has 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 Advisor Associate 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.

## **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' predecessor company, Strategic Wealth Management, LLC dba StratWealth, in October 1999 and worked as a Financial Planner and Director of Investment Research, then as a Senior Advisor beginning January 2014.

Mr. Garrison is a CERTIFIED FINANCIAL PLANNER<sup>™</sup> practitioner and an Accredited Investment Fiduciary<sup>®</sup> 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 Senior Vice President, Advisor at Wealthspire Advisors. He is also a Senior Vice President, Advisor at Strategic Wealth Management Group, LLC dba Wealthspire Advisors, a separate registered investment adviser and subsidiary company of NFP Corp.

### **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®<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. 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 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 Senior Advisor Associate 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.

## **Daniel W. Geary Biographical Information**

**Branch Location:** 1635 Market Street, Suite 1600, Philadelphia, PA 19103

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

Mr. Geary was born in 1957. He graduated cum laude from Siena College in 1979 with a Bachelor of Arts degree in Sociology, then earned a Juris Doctor degree from Albany Law School in 1987. In 1988, he was admitted to the bar in New York and is currently a member in good standing of the New York Bar.

Mr. Geary was an Account Manager at the Ayco Company from 1986 to 1993, then an Executive Vice President with Pitcairn Trust Company from 1993 to 2000, and later a Vice President/Senior Relationship Manager with U.S. Trust Company from 2000 to 2002. Mr. Geary then founded and served as CEO at Copper Beach Advisors LLC from 2002 to 2004 and then served as a Managing Director at Convergent Wealth Advisors from 2004 to 2010. Mr. Geary served as Managing Director at the Threshold Group from 2010 to 2017, and joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, in October 2017.

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

### **Disciplinary Information**

Mr. Geary 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. Geary is a Managing Director at Wealthspire Advisors.

### **Additional Compensation**

Mr. Geary 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. Geary'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.

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 Senior Vice President 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®<sup>1</sup> 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 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 Vice President 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.



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

**Branch Location:** 11800 Sunrise Valley Drive, Suite 310, Reston, VA 20191

### **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.

Mr. Goudes is a CERTIFIED FINANCIAL PLANNER<sup>™</sup> practitioner and holds the Chartered Financial Analyst<sup>®</sup> designation. 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 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.

## **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' predecessor company, 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. He is also a Managing Director, Advisor at Strategic Wealth Management Group, LLC dba Wealthspire Advisors, a separate registered investment adviser and subsidiary company of NFP Corp.

### **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.

## **Rachel Haberman 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.

### **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 a Senior Advisor Associate 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.

## **Casey Hardy Biographical Information**

**Branch Location:** 301 Yamato Road, Suite 3194, Boca Raton, FL 33431

### **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 2015.

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 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 an Advisor Associate 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 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 Vice President 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.

## **Olivia Hsu Biographical Information**

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

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

Ms. Hsu was born in 1997. She graduated from Virginia Polytechnical Institute and State University (Virginia Tech) in 2019 with a Bachelor of Science degree in Finance.

Ms. Hsu joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, in 2018 as an Intern and is now an Advisor Associate.

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

### **Disciplinary Information**

Ms. Hsu 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. Hsu is an Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Ms. Hsu 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. Hsu'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:** 11800 Sunrise Valley Drive, Suite 310, Reston, VA 20191

### **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.



## **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.

## **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.

### **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.

## **Jack Keating Biographical Information**

**Branch Location:** 11800 Sunrise Valley Drive, Suite 310, Reston, VA 20191

### **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 is now an Advisor Associate.

Mr. Keating 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 Advisor Associate 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.

## **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<sup>®</sup> 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<sup>™</sup> 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.

## 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.

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 Advisor Associate 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.

## **Myka Koenen, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 11800 Sunrise Valley Drive, Suite 310, Reston, VA 20191

### **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. Ms. Koenen then joined Sage Advisory Services from January 2013 to May 2014 as a Regional Sales Consultant. 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 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 an Assistant Vice President 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.

## **Kevin Kosgard Biographical Information**

**Branch Location:** 2201 E. Enterprise Ave. S, Suite 203, 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.

## **Orathai (“Joy”) Kuvareewong Biographical Information**

**Branch Location:** 11800 Sunrise Valley Drive, Suite 310, Reston, VA 20191

### **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 and became a Senior Client Associate, Wealth Advisory in December 2017.

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 a Senior Client Service Associate 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>20</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 Advisors' predecessor company, 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. She is also a Managing Director, Advisor at Strategic Wealth Management Group, LLC dba Wealthspire Advisors, a separate registered investment adviser and subsidiary company of NFP Corp.

### **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.

## **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<sup>®</sup> 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. Leasure Biographical Information**

**Branch Location:** 11800 Sunrise Valley Drive, Suite 310, Reston, VA 20191

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

Mr. Leasure was born in 1965. He received his Bachelor of Science degree in Economics from Boston College in 1988.

Mr. Leasure 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. Leasure joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, as a Director.

Mr. Leasure has passed the Series 65 Uniform Investment Advisors Law Examination.

### **Disciplinary Information**

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

### **Additional Compensation**

Mr. Leasure 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. Leasure'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:** 2201 E. Enterprise Ave. S, Suite 203, 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.

## **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.

## **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' predecessor company, Strategic Wealth Management, LLC dba StratWealth, in 2004 as a Partner and Advisor.

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 Senior Vice President, Advisor at Wealthspire Advisors. She is also a Senior Vice President, Advisor at Strategic Wealth Management Group, LLC dba Wealthspire Advisors, a separate registered investment adviser and subsidiary company of NFP Corp.

### **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.

## **Lauren Martin, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 1635 Market Street, Suite 1600, Philadelphia, PA 19103

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

Ms. Martin was born in 1983. She graduated from The Pennsylvania State University in 2006 with a Bachelor of Science degree in Finance.

Ms. Martin joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, in 2017 as a Director of Wealth Management. Prior to joining Wealthspire Advisors, Ms. Martin was a Director in Wealth Advisory Client Service at Threshold Group for seven years where she was instrumental in developing and delivering Next Gen education curriculum, family meeting facilitation, and impact investment services to multi-generational families, in addition to traditional investment management, financial planning, trust & estate planning, and advisor coordination. She began her career in wealth management at Convergent Wealth Advisors in 2006, first in Philadelphia and then New York.

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

### **Disciplinary Information**

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

### **Additional Compensation**

Ms. Martin 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. Martin'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®<sup>1</sup> 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.



## **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.

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 Senior Vice President 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.

## Michael Moriarty Biographical Information

**Branch Location:** 521 5<sup>th</sup> Avenue, 15<sup>th</sup> Floor, New York, NY 10175

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

Mr. Moriarty was born in 1970. He graduated, *cum laude*, from Davidson College in 1992 with a Bachelor of Arts degree in History. He graduated from the Fletcher School at Tufts University in 1997 with a Master of Arts in Law and Diplomacy, in the field of study of International Economics.

From 2000 to 2008, Mr. Moriarty was a Senior Managing Director and Global Head of the Hedge Fund Linked Business for Bear Stearns. He then spent a year at J.P. Morgan as Managing Director and Head of the Hedge Fund Linked Business for the Americas before working for Citadel LLC's Surveyor Capital unit as its Chief Operating Officer from 2009 to 2012. He served as Head of Investment Platform for Dynasty Financial Partners from 2013 to June 2017 before joining Wealthspire Advisors' predecessor company, Sontag Advisory LLC, in July 2017 as Chief Investment Officer.

### **Disciplinary Information**

Mr. Moriarty 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. Moriarty is the Chief Investment Officer at Wealthspire Advisors.

### **Additional Compensation**

Mr. Moriarty 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. Moriarty's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Michelle Morrow Biographical Information**

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

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

Ms. Morrow was born in 1977. She received her Bachelor of Arts degree in Business Administration from Lakeland College in 2014.

Ms. Morrow was a Portfolio Management Specialist at Robert W. Baird & Co. from April 2010 to June 2013, then a Client Account Administrator and Systems Specialist at Hogan Financial Management, from June 2013 to March 2017. She joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, in April 2017 as a Client Service Associate.

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

### **Disciplinary Information**

Ms. Morrow 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. Morrow is a Senior Client Service Associate at Wealthspire Advisors.

### **Additional Compensation**

Ms. Morrow 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. Morrow'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®<sup>1</sup> Biographical Information**

**Branch Location:** 521 5<sup>th</sup> 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.

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

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

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

Mr. Owens was born in 1983. Mr. Owens graduated from Glenville State College with a Bachelor of Science in Business Administration degree in 2005 and also earned a Master of Business Administration degree in 2010 from Mount St. Mary's University.

Mr. Owens joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, in 2017. Mr. Owens has over 15 years' experience working in the financial services industry, most recently working as an Analyst at Graystone Consulting. Prior to that, Mr. Owens was a Senior Operations Associate at Convergent Wealth Advisors.

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

### **Disciplinary Information**

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

### **Additional Compensation**

Mr. Owens 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. Owens investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Cindy Pingel Biographical Information**

**Branch Location:** 500 Midland Court, Janesville, WI 53546

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

Ms. Pingel was born in 1959. She does not have formal education after high school, but Ms. Pingel spent 23 years as an Administrative Assistant at Bank One Trust Company, where she provided assistance to the Bank's trust and wealth management clients. She joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, in April 2000 as a Client Service Associate.

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

### **Disciplinary Information**

Ms. Pingel 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. Pingel is a Senior Client Service Associate at Wealthspire Advisors.

### **Additional Compensation**

Ms. Pingel 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. Pingel'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 5<sup>th</sup> 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<sup>®</sup> 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:** 27 Imperial Avenue, 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 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.



## **Adam J. Qualler Biographical Information**

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

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

Mr. Qualler was born in 1975. He graduated with honors from the University of Wisconsin, Milwaukee in 1999 with a Bachelor of Arts Degree in English. He earned his Master's in Business Administration from Cardinal Stritch University in 2009.

Prior to joining Wealthspire Advisors in 2020, Mr. Qualler was employed as a Regional Credit Analyst for Manitou Equipment Americas, LLC from 2015 until 2020, where he managed over 700 dealer accounts, world-wide.

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

### **Disciplinary Information**

Mr. Qualler 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. Qualler is an Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Mr. Qualler 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. Qualler'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:** 11800 Sunrise Valley Drive, Suite 310, Reston, VA 20191

### **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.

## **Maximilian Rusch Biographical Information**

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

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

Mr. Rusch was born in 1997. He received his Bachelor of Business Administration degree in Finance, Wealth Management and Financial Planning from the University of Wisconsin-Madison in 2019.

Mr. Rusch joined Wealthspire Advisors in December 2019. Prior to joining Wealthspire Advisors, he worked as a wealth management intern for UBS Financial Services, where he assisted an advising team during meetings, created client deliverables, and conducted market research to enrich the overall client experience.

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

### **Disciplinary Information**

Mr. Rusch 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. Rusch is a Client Service Associate at Wealthspire Advisors.

### **Additional Compensation**

Mr. Rusch 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. Rusch'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 Rymar, 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. Rymar was born in 1988. She graduated from the University of Connecticut in 2014 with a Bachelor of Science degree in Financial Management.

Ms. Rymar 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. Rymar is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

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

### **Additional Compensation**

Ms. Rymar 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. Rymar'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 Satchell, ChFC<sup>®8</sup>, FPQP<sup>™18</sup> Biographical Information**

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

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

Ms. Satchell was born in 1992. She graduated from the Perdue School of Business at Salisbury University in December 2013 with a Bachelor of Science degree in Finance, with a Financial Planning track.

Ms. Satchell joined Wealthspire Advisors' predecessor company, Strategic Wealth Management, LLC dba StratWealth, in 2014. During her tenure with the firm, she has held the roles of Account Representative, Nexit Strategist, and Director of Financial Planning.

Ms. Satchell is a FINANCIAL PARAPLANNER MANAGEMENT SPECIALIST<sup>™</sup> professional and a Chartered Financial Consultant<sup>®</sup> designee.

### **Disciplinary Information**

Ms. Satchell 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. Satchell is an Assistant Vice President, Senior Advisor Associate at Wealthspire Advisors. She is also an Assistant Vice President, Senior Advisor Associate at Strategic Wealth Management Group, LLC dba Wealthspire Advisors, a separate registered investment adviser and subsidiary company of NFP Corp.

### **Additional Compensation**

Ms. Satchell 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. Satchell's investment advisory activities to ensure compliance with regulatory and internal procedures. His contact information is available on the cover page of this brochure.

## **Haley Scaggs Biographical Information**

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

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

Ms. Scaggs was born in 1998. She graduated from Virginia Polytechnic Institute and State University in 2020 with a Bachelor of Science degree in Finance.

Ms. Scaggs was a Wealth Management Intern at Wealthspire Advisors' predecessor company, Wealthspire Advisors, L.P., in the summer of 2020, and she joined Wealthspire Advisors as an Advisor Associate in January 2021.

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

### **Disciplinary Information**

Ms. Scaggs 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. Scaggs is an Advisor Associate at Wealthspire Advisors.

### **Additional Compensation**

Ms. Scaggs 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. Scaggs' 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®<sup>1</sup> Biographical Information**

**Branch Location:** 11800 Sunrise Valley Drive, Suite 310, Reston, VA 20191

### **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.

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 an Assistant Vice President 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.

## **Mark E. Schwartz Biographical Information**

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

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

Mr. Schwartz was born in 1947. He graduated from Lehigh University in 1969 with a Bachelor of Arts in Political Science and from Stanford University in 1970 with a Broadcast Journalism degree.

Mr. Schwartz was Vice President with Prudential Securities from 1988-1994, when he joined TriCapital Advisors. He was the President and Chief Compliance Officer of TriCapital Advisors Inc. from May 2006 until he joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, in February 2017.

Mr. Schwartz currently has passed the FINRA Series 65 Uniform Investment Adviser Law Exam.

### **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.



## **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<sup>™</sup> 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.

## **Joshua Shoshan 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 has successfully passed the Series 65 Uniform Investment Adviser Law Examination

### **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®<sup>1</sup> 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.

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 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.

## **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' predecessor company, Strategic Wealth Management, LLC dba StratWealth, in January 2019 as a Senior Advisor Associate.

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 Senior Advisor Associate at Wealthspire Advisors. He is also a Senior Advisor Associate at Strategic Wealth Management Group, LLC dba Wealthspire Advisors, a separate registered investment adviser and subsidiary company of NFP Corp.

### **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.

## **Gary Sobelman Biographical Information**

**Branch Location:** 1635 Market Street, Suite 1600, Philadelphia, PA 19013

### **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  
301 Yamato Road, Suite 3194, Boca Raton, FL 33431

### **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 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 a Senior Advisor Associate 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.



## **Bryan Stretton, CFP®<sup>1</sup> Biographical Information**

**Branch Location:** 11800 Sunrise Valley Drive, Suite 310, Reston, VA 20191

### **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 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 Senior Advisor Associate 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.

## **Jack Swikart, 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. Swikart was born in 1993. He graduated from the Wharton School at the University of Pennsylvania in 2015 with a Bachelor of Science degree in Economics.

After graduating, Mr. Swikart worked as a financial representative with Network 1 Financial Securities before moving into an associate financial planning role at Charles Schwab in 2017. He then joined Wealthspire Advisors' predecessor company, Sontag Advisory, as a Senior Advisor Associate in 2019.

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

### **Disciplinary Information**

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

### **Additional Compensation**

Mr. Swikart may receive compensation for the sale of securities and insurance products, but he 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. Swikart'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' predecessor company, 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. He is also an Assistant Vice President, Advisor at Strategic Wealth Management Group, LLC dba Wealthspire Advisors, a separate registered investment adviser and subsidiary company of NFP Corp.

### **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.

## **Natalie Truty, 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. Truty was born in 1989. She graduated from the University Pittsburgh with a Bachelor of Science in Psychology. She also received an Executive Certificate in Financial Planning from Duquesne University.

Prior to joining the Wealthspire Advisors' predecessor company, Sontag Advisory LLC, in 2015 as an Advisor and Vice President, Ms. Truty worked as a research study Coordinator for the Decision Neuroscience and Psychopathology Lab at the University of Pittsburgh.

Ms. Truty is a CERTIFIED FINANCIAL PLANNER™ practitioner.

### **Disciplinary Information**

Ms. Truty 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. Truty is a Vice President at Wealthspire Advisors.

### **Additional Compensation**

Ms. Truty 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. Truty'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.

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 a Wealth Advisor, Assistant Vice President 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.

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

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

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

Ms. Vinogradov 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. Vinogradov joined Wealthspire Advisors' predecessor company, 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. Vinogradov 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. Vinogradov 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. Vinogradov is a Senior Advisor Associate at Wealthspire Advisors. She is also a Senior Advisor Associate at Strategic Wealth Management Group, LLC dba Wealthspire Advisors, a separate registered investment adviser and subsidiary company of NFP Corp.

### **Additional Compensation**

Ms. Vinogradov 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. Vinogradov'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' predecessor company, 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.

Mr. von Lange is a CERTIFIED FINANCIAL PLANNER<sup>™</sup> practitioner, an Accredited Investment Fiduciary<sup>®</sup> 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 Vice President, Advisor at Wealthspire Advisors. He is also a Vice President, Advisor at Strategic Wealth Management Group, LLC dba Wealthspire Advisors, a separate registered investment adviser and subsidiary company of NFP Corp.

### **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' predecessor company, 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.

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 Vice President, Advisor at Wealthspire Advisors. He is also a Vice President, Advisor at Strategic Wealth Management Group, LLC dba Wealthspire Advisors, a separate registered investment adviser and subsidiary company of NFP Corp.

### **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.

## **Jay Weinstein, CFA<sup>®7</sup> Biographical Information**

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

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

Mr. Weinstein was born in 1960. He received his Bachelor of Arts degree in Government from Harvard College in 1981. In addition, he earned a Master of Business Administration in Finance from the University of Pennsylvania, Wharton School in 1987.

Mr. Weinstein was President of Oak Forest Investment Management from December 1995 to March 2011. Mr. Weinstein was a Managing Director with Highline Wealth Management, LLC from March 2011 to July 2015. He joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, in July 2015.

Mr. Weinstein holds the Chartered Financial Analyst<sup>®</sup> designation. He has passed the Series 65 Uniform Investment Adviser Law Examination.

### **Disciplinary Information**

Mr. Weinstein 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. Weinstein is a Managing Director at Wealthspire Advisors.

### **Additional Compensation**

Mr. Weinstein 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. Weinstein'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 5<sup>th</sup> 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.

## **Julie Williams 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 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 Vice President 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.

# John H. Wolff, CFP<sup>®1</sup>, ChFC<sup>®8</sup>, CLU<sup>®9</sup>, AIF<sup>®11</sup> Biographical Information

**Branch Location:** 11800 Sunrise Valley Drive, Suite 310, Reston, VA 20191

## **Educational Background and Business Experience**

Mr. Wolff was born in 1965. He received his Bachelor of Science degree in Business and Finance from Shepherd University in 1988.

Mr. Wolff was the Chief Executive Officer and Managing Director for Capital Fiduciary Advisors from October 2006 to May 2017. He joined Wealthspire Advisors' predecessor company, Bronfman Rothschild, in May 2017 as a Managing Director.

Mr. Wolff is a CERTIFIED FINANCIAL PLANNER<sup>™</sup> practitioner, a Chartered Financial Consultant<sup>®</sup> designee, a Chartered Life Underwriter<sup>®</sup> professional, and an Accredited Investment Fiduciary<sup>®</sup> designee. He has also passed the Series 65 Uniform Investment Adviser Law Examination.

## **Disciplinary Information**

Mr. Wolff 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. Wolff is a Managing Director at Wealthspire Advisors. Mr. Wolff is a Founder and Co-Owner of Loudoun Insurance Group, LLC (LIG). It is estimated that Mr. Wolff devotes approximately 10% of his time to activities involving LIG for which he receives compensation. LIG and Wealthspire Advisors are not affiliated companies. Nonetheless, the fact that Mr. Wolff co-owns and receives compensation from LIG creates potential conflicts of interest. Mr. Wolff or other Wealthspire Advisors employees may recommend that clients obtain insurance products from LIG, which if purchased, could result in direct or indirect compensation to Mr. Wolff. Clients are not under any obligation to engage LIG when considering implementation of advisory recommendations, with the implementation of any or all insurance recommendations solely in the discretion of the client. Furthermore, it is the policy of Wealthspire Advisors that no sharing of commissions occurs in connection with clients referred between Loudoun Insurance Group and Wealthspire Advisors. Mr. Wolff also has a family owned farm in Loudoun County, Virginia.

## **Additional Compensation**

Mr. Wolff 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. Wolff'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.

### **7 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.

### **15 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 a 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.

### **16 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 managed 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.

### **17 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.

### **18 FINANCIAL PARAPLANNER QUALIFIED PROFESSIONAL<sup>™</sup> designation or the FPQP<sup>™</sup> mark:**

FINANCIAL PARAPLANNER MANAGEMENT SPECIALIST<sup>™</sup> and FPQP<sup>™</sup> are trademarks of the College for Financial Planning in the United States and/or other countries.

Individuals who hold the FPQP<sup>™</sup> 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>19</sup> Certified Estate Planner™ designation or the CEP® mark:**

The CEP® (Certified Estate Planner™) 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® (Certified Estate Planner™) 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® 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® 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>20</sup> CHARTERED MUTUAL FUND COUNSELOR<sup>SM</sup> designation or the CMFC® mark:**

CHARTERED MUTUAL FUND COUNSELOR<sup>SM</sup> and CMFC® 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.