



# Form ADV, Part 2B Brochure Supplement

## **SVB Wealth LLC**

**File No. 801-80480**

**53 State Street, 28<sup>th</sup> Floor  
Boston, Massachusetts 02109  
617-223-0200**

**<https://www.svb.com/private-bank/wealth-management>**

**September 7, 2023**

This brochure supplement provides information about supervised persons of SVB Wealth LLC (“SVB Wealth”, “SVBW” or the “Firm”) that supplements the SVB Wealth LLC ADV brochure. You should have received a copy of that brochure. Please contact SVBW at 617.223.0200 or [compliance.wealth@svb.com](mailto:compliance.wealth@svb.com) if you did not receive SVBW’s brochure or if you have any questions about the contents of this supplement.

Additional information about the SVBW supervised persons discussed herein is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Thomas Abramo (CRD No: 2938210)

Branch Address: 100 Pine Street  
Suite 2800  
San Francisco, CA 94111

Contact Number: 415.218.8867

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Thomas Abramo (b. 1977)
EDUCATION:	University of California at Santa Barbara (Bachelor of Arts)
BUSINESS EXPERIENCE:	10/2021 - Present SVB Wealth LLC, Managing Director, Private Wealth Advisor
(Past Five Years)	4/2006 - 10/2021 Wells Fargo, Senior Vice President
PROFESSIONAL DESIGNATION(S):	Chartered Financial Analyst® (CFA®) Certified Public Accountant (CPA)

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*No other business activity to disclose.*

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Abramo is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Head of Wealth Advisory West, is Mr. Abramo's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

## **Natalya Alexei (CRD No: 3004862)**

Branch Address: 100 Pine Street  
Suite 2800  
San Francisco, CA 94111

Contact Number: 415.795.9231

### **Item 2 – Educational Background and Business Experience**

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Natalya Alexei (b. 1976)		
EDUCATION:	University of San Francisco (Bachelor of Arts)		
BUSINESS EXPERIENCE:	10/2021 - Present	SVB Wealth LLC, Sr. Managing Director, Private Wealth Advisor	
(Past Five Years)	1/2016 - 10/2021	Abbott Downing, Wells Fargo, Managing Director	
	12/2004 - 1/2016	Citi Private Bank, Director, Private Banker	

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### **Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

### **Item 4 – Other Business Activities**

*No other business activity to disclose.*

### **Item 5 – Additional Compensation**

*No additional compensation to disclose.*

### **Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Ms. Alexei is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Head of Wealth Advisory West, is Ms. Alexei's direct supervisor. He can be reached at 800.422.6172.

### **Item 7 – Requirements for State-Registered Advisers**

N/A

## Alejandro Algaze (CRD No: 5413281)

Branch Address: 1441 Brickell Avenue  
Suite 1530  
Miami, FL 33131

Contact Number: 305.913.1524

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME: Alejandro Algaze (b. 1980)

EDUCATION: University of Miami (Masters)  
Universidad Gabriela Mistral (Bachelor of Arts)

BUSINESS EXPERIENCE: 12/2019 - Present SVB Wealth LLC, Managing Director, Private Wealth Advisor  
(Past Five Years) 5/2016 - 9/2020 Chai Logistics, Management Consulting  
8/2012 - 12/2016 Canada Corp, Founder and Director  
3/2010 - 7/2012 Bank Hapoalim, Private Banker

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*No other business activity to disclose.*

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Algaze is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Stephen Mergler, Market Manager, Private Wealth Advisor, is Mr. Algaze's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

## **Gustavo Arce (CRD No: 4432219)**

Branch Address: 100 Pine Street  
Suite 2800  
San Francisco, CA 94111

Contact Number: 970.406.8807

### **Item 2 – Educational Background and Business Experience**

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Gustavo Arce (b. 1977)		
EDUCATION:	University of Florida (Bachelor of Arts)		
BUSINESS EXPERIENCE:	7/2021 - Present	SVB Wealth LLC, Managing Director, Private Wealth Advisor	
(Past Five Years)	8/2021 - Present	SVB Investment Services Inc., Relationship Manager	
	3/2013 - 7/2021	Bessemer Trust, Client Advisor	

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### **Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

### **Item 4 – Other Business Activities**

Gustavo Arce is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB LLC.

### **Item 5 – Additional Compensation**

*No additional compensation to disclose.*

### **Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Arce is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Head of Wealth Advisory West, is Mr. Arce's direct supervisor. He can be reached at 800.422.6172.

### **Item 7 – Requirements for State-Registered Advisers**

N/A

## Dimitrina Atanasova (CRD No: 6817011)

Branch Address: 53 State Street  
28th Floor  
Boston, MA 02109

Contact Number: 774.994.3425

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME: Dimitrina Atanasova (b. 1987)  
EDUCATION: South-west University (Masters)  
South-west University (Bachelor of Science)

BUSINESS EXPERIENCE:	7/2022 - Present	SVB Wealth LLC, Affluent Wealth Advisor
(Past Five Years)	5/2020 - 7/2022	Santander Bank, Branch Manager
	9/2017 - 2/2020	Merrill Lynch, Financial Solutions Advisor
	10/2015 - 9/2017	Bank of America, Relationship Manager

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*Dimitrina is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.*

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Ms. Atanasova is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Josh Thomas, Director, PBWM Affluent Relationship Managers, is Ms. Atanasova's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

## **Sigita Baker (CRD No: 5900075)**

Branch Address: 2750 East Cottonwood Parkway  
Suite 420  
Salt Lake City, UT 84121

Contact Number: 801.915.0482

### **Item 2 – Educational Background and Business Experience**

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Sigita Baker (b. 1984)
EDUCATION:	Vilnius University (Bachelor of Economics)
BUSINESS EXPERIENCE:	6/2021 - Present SVB Wealth LLC, Affluent Wealth Advisor
(Past Five Years)	8/2020 - Present SVB Investment Services Inc., Relationship Manager
	9/2016 - 8/2020 Wells Fargo Advisors, Senior Registered Associate
	3/2011 - 8/2016 Morgan Stanley, Registered Associate

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### **Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

### **Item 4 – Other Business Activities**

*Siga Baker is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.*

### **Item 5 – Additional Compensation**

*No additional compensation to disclose.*

### **Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Ms. Baker is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Josh Thomas, Director, PBWM Affluent Relationship Managers, is Ms. Baker's direct supervisor. He can be reached at 800.422.6172.

### **Item 7 – Requirements for State-Registered Advisers**

N/A

## Jeffrey Becker (CRD No: 7602751)

Branch Address: 2770 Sand Hill Road  
Menlo Park, CA 94025

Contact Number: 408.654.7717

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Jeffrey Becker (b. 1994)
EDUCATION:	Santa Clara University (Bachelor of Science)
BUSINESS EXPERIENCE:	7/2022 - Present SVB Wealth LLC, Director, Private Wealth Advisor
(Past Five Years)	5/2016 - 6/2022 BNY Mellon Wealth Management, Wealth Manager
PROFESSIONAL DESIGNATION(S):	Chartered Financial Analyst® (CFA®)

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*No other business activity to disclose.*

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Becker is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Head of Wealth Advisory West, is Mr. Becker's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A



## Amy Born (CRD No: 2640905)

Branch Address: 9465 Wilshire Boulevard  
8th Floor  
Beverly Hills, CA 90212

Contact Number: 424.653.5018

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Amy Born (b. 1971)
EDUCATION:	San Diego State University (Bachelor of Science)
BUSINESS EXPERIENCE:	9/2018 - Present SVB Wealth LLC, Director, Private Wealth Advisor
(Past Five Years)	12/2021 - 8/2022 SVB Investment Services Inc., Relationship Manager
	7/2016 - 8/2018 Acacia Wealth Advisors - Hightower, Executive Director
	11/2007 - 7/2016 Acacia Wealth Advisors, Senior Vice President, Wealth Strategies
PROFESSIONAL DESIGNATION(S):	Chartered Financial Analyst® (CFA®)
	Certified Financial Planner (CFP®)
	Certified Investment Management Analyst (CIMA®)

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*No other business activity to disclose.*

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Ms. Born is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Head of Wealth Advisory West, is Ms. Born's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

## Alan Brod (CRD No: 2155192)

Branch Address: 1325 Avenue of the Americas  
14th Floor  
New York, NY 10019

Contact Number: 212.355.0346

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME: Alan Brod (b. 1954)

EDUCATION: New York University School, School of Law (Master of Laws)  
University of Miami (Juris Doctor)  
New York University (Bachelor of Science)

BUSINESS EXPERIENCE: 9/2019 - Present SVB Wealth LLC, Senior Managing Director  
(Past Five Years) 5/1991 - 9/2019 KLS Professional Advisors Group, LLC, Senior Managing Director

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*No other business activity to disclose.*

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Brod is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Richard Jaffe, Head of Wealth Advisory Northeast, is Mr. Brod's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

## David Buxton (CRD No: 5401619)

Branch Address: 275 Grove Street  
Suite 2-200  
Boston, MA 02466

Contact Number: 617.243.2943

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	David Buxton (b. 1972)
EDUCATION:	University of New Hampshire (Bachelor of Science)
BUSINESS EXPERIENCE:	2/2022 - Present SVB Wealth LLC, Market Manager, Private Wealth Advisor
(Past Five Years)	12/2021 - Present SVB Investment Services Inc., Relationship Manager
	5/2014 - Present Silicon Valley Bank, Managing Director
	7/2007- 5/2014 Citi Private Bank, Senior Vice President

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*David Buxton is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.*

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Buxton is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Richard Jaffe, Head of Wealth Advisory Northeast, is Mr. Buxton's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

## Mark Childs (CRD No: 4136581)

Branch Address: 387 Park Avenue South  
2nd Floor  
New York, NY 10016

Contact Number: 617.510.8200

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Mark Childs (b. 1966)	
EDUCATION:	University of Massachusetts Amherst (Bachelor of Arts)	
BUSINESS EXPERIENCE:	2/2022 - Present	SVB Wealth LLC, Market Manager, Private Wealth Advisor
(Past Five Years)	5/2021 - Present	SVB Investment Services Inc., Relationship Manager
	6/2019 - 12/2020	HSBC Private Banking, SVP/Relationship Manager
	8/2011 - 5/2019	J.P. Morgan Private Bank, Executive Director

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

Mark Childs is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Childs is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Richard Jaffe, Head of Wealth Advisory Northeast, is Mr. Childs's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

## Marvin Christian (CRD No: 2933295)

Branch Address: 3340 Peachtree Street NE  
Suite 950  
Atlanta, GA 30326

Contact Number: 404.264.8349

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME: Marvin Christian (b. 1966)

EDUCATION: Duke University (Masters)

George Washington University (Bachelor of Science)

North Carolina A&T State University (Bachelor of Science)

BUSINESS EXPERIENCE: 2/2022 - Present SVB Wealth LLC, Managing Director, Private Wealth Advisor  
(Past Five Years) 5/2020 - Present SVB Investment Services Inc., Relationship Manager

2014 - 2020 Wells Fargo, Fiduciary Consultant

2005 - 2008 Wachovia Securities, Business Development Consultant

2003 - 2005 Wachovia Securities, Equity Trader

PROFESSIONAL DESIGNATION(S): Certified Trust and Fiduciary Advisor (CTFA)

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

Marvin Christian is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Christian is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Ro Mehrotra, Head of Wealth Advisory Central and Southeast, is Mr. Christian's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

## Andres Coles (CRD No: 2605473)

Branch Address: 1325 Avenue of the Americas  
14th Floor  
New York, NY 10019

Contact Number: 646.244.8310

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME: Andres Coles (b. 1971)

EDUCATION: IMD International (Masters)  
Babson College (Bachelor of Science)

BUSINESS EXPERIENCE: 12/2019 - Present SVB Wealth LLC, Director, Private Wealth Advisor  
(Past Five Years) 3/2012 - 12/2019 Atrium Diversified Fund / Davos Financial Advisors, Managing Director

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*No other business activity to disclose.*

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Coles is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Mark Childs, Market Manager, Private Wealth Advisor, is Mr. Coles's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

## Krista Conover (CRD No: 6424774)

Branch Address: 345 S. San Antonio Road  
Los Altos, CA 94022

Contact Number: 650.378.3717

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME: Krista Conover (b. 1974)

EDUCATION: Santa Clara University (Juris Doctor)  
University of California, Davis (Bachelor of Arts)

BUSINESS EXPERIENCE: 11/2014 - Present SVB Wealth LLC, Managing Director, Business Development  
(Past Five Years) 9/2011 - 2/2015 Boston Private Bank & Trust Co., Trust & Investment Sales Officer  
4/2004 - 9/2021 Borel Private Bank, Trust and Investment Sales Officer

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

Ms. Conover is also an employee of SVBW's parent company, Silicon Valley Bank ("SVB").

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Ms. Conover is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Gerald Baker, Head of Trust & Fiduciary, is Ms. Conover's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

**Michael Conway** (CRD No: 5350912)

Branch Address: 505 Howard Street  
3rd Floor  
San Francisco, CA 94105

Contact Number: 650.926.0142

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Michael Conway (b. 1981)
EDUCATION:	San Diego State University (Bachelor of Science)
BUSINESS EXPERIENCE:	3/2022 - Present SVB Wealth LLC, Managing Director, Private Wealth Advisor
(Past Five Years)	1/2017 - Present SVB Investment Services Inc., Relationship Manager
	2011 - 2016 SVB Private Bank, Vice President
PROFESSIONAL DESIGNATION(S):	No professional designations to disclose.

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

Michael Conway is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Conway is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Market Manager, Private Wealth Advisor, is Mr. Conway’s direct supervisor. He can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A



## **Dudley Cunningham** (CRD No: 58747)

Branch Address: 53 State Street  
28th Floor  
Boston, MA 02109

Contact Number: 617.223.0213

### **Item 2 – Educational Background and Business Experience**

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

**NAME:** Dudley Cunningham (b. 1943)  
**EDUCATION:** Wharton School of Business and Finance (Masters)  
University of Pennsylvania (Bachelors of Arts)  
**BUSINESS EXPERIENCE:** 11/2014 - Present SVB Wealth LLC, Director, Private Wealth Advisor  
(Past Five Years) 7/1995 - 2/2015 Boston Private Bank & Trust Company, Portfolio Manager  
**PROFESSIONAL DESIGNATION(S):** No professional designations to disclose.

### **Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

### **Item 4 – Other Business Activities**

*No other business activity to disclose.*

### **Item 5 – Additional Compensation**

*No additional compensation to disclose.*

### **Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Cunningham is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Richard Jaffe, Head of Wealth Advisory Northeast, is Mr. Cunningham's direct supervisor. He can be reached at 800.422.6172.

### **Item 7 – Requirements for State-Registered Advisers**

N/A

## Eric Curry (CRD No: 7201028)

Branch Address: 53 State Street  
28th Floor  
Boston, MA 02109

Contact Number: 617.912.4445

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME: Eric Curry (b. 1974)  
EDUCATION: Babson College (Masters)  
Hobart College (Bachelor of Arts)  
BUSINESS EXPERIENCE: 5/2020 - Present SVB Wealth LLC, Director, Private Wealth Advisor  
(Past Five Years) 2/2018 - 5/2020 Boston Private Bank, VP Client Development  
2/2015 - 2/2018 Impact Performance Group, Managing Director  
PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*No other business activity to disclose.*

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Curry is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Richard Jaffe, Head of Wealth Advisory Northeast, is Mr. Curry's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

## Ashley "Ash" Daggs (CRD No: 2592728)

Branch Address: 100 Pine Street  
Suite 2800  
San Francisco, CA 94111

Contact Number: 415.795.9268

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Ashley "Ash" Daggs (b. 1972)		
EDUCATION:	University of San Diego (Bachelor of Arts)		
BUSINESS EXPERIENCE:	8/2020 - Present	SVB Wealth LLC, Managing Director, Private Wealth Advisor	
(Past Five Years)	4/2017 - 8/2020	Merrill Private Wealth Management, Private Wealth Manager	
	11/2007 - 4/2017	Wells Fargo Private Bank, Private Client Advisor	
	3/2000 - 11/2007	Thomas Weisel Partners LLC, Principal	

PROFESSIONAL DESIGNATION(S): Certified Financial Planner (CFP®)

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*No other business activity to disclose.*

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Daggs is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Market Manager, Private Wealth Advisor, is Mr. Daggs's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

## Timothy Davis (CRD No: 6002272)

Branch Address: 275 Grove Street  
Suite 2-200  
Newton, MA 02466

Contact Number: 617.796.6221

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME: Timothy Davis (b. 1989)

EDUCATION: Northeastern University (Masters)  
Ohio Wesleyan University (Bachelor of Science)

BUSINESS EXPERIENCE:	12/2020 - Present	SVB Wealth LLC, Director, Private Wealth Advisor
(Past Five Years)	2018 - Present	SVB Investment Services Inc., Relationship Manager
	2017 - Present	SVB Private Bank, Vice President
	2015 - 2017	Silicon Valley Bank, Associate
	2012 - 2015	Brown Brothers Harriman, Relationship Associate

PROFESSIONAL DESIGNATION(S): Certified Financial Planner (CFP®)

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

Tim Davis is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Davis is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Dave Buxton, Market Manager, Private Wealth Advisor, is Mr. Davis's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

## **Richard De Villiers (CRD No: 6912977)**

Branch Address: 387 Park Avenue South  
2nd Floor  
New York, NY 10016

Contact Number: 408.919.0476

### **Item 2 – Educational Background and Business Experience**

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Richard De Villiers (b. 1987)
EDUCATION:	University of London (Bachelor of Science) University of the Free State (Post Graduate Diploma)
BUSINESS EXPERIENCE: (Past Five Years)	11/2022 - Present SVB Wealth LLC, Director, Private Wealth Advisor 10/2019 - 11/2022 UBS Financial Services Inc., Financial Advisor 1/2018 - 5/2019 J.P. Morgan Chase Bank, Vice President 3/2016 - 8/2017 Standard Bank, Manager, Specialized Lending

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### **Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

### **Item 4 – Other Business Activities**

*No other business activity to disclose.*

### **Item 5 – Additional Compensation**

*No additional compensation to disclose.*

### **Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. De Villiers is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Mark Childs, Market Manager, Private Wealth Advisor, is Mr. De Villiers's direct supervisor. He can be reached at 800.422.6172.

### **Item 7 – Requirements for State-Registered Advisers**

N/A

**Thomas Fickinger** (CRD No: 1562347)  
Branch Address: 505 Howard Street  
3rd Floor  
San Francisco, CA 94105

Contact Number: 415.916.8223

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Thomas Fickinger (b. 1964)		
EDUCATION:	Penn State University (Bachelors Degree)		
BUSINESS EXPERIENCE: (Past Five Years)	8/2022 - Present	SVB Wealth LLC, Head of Wealth Advisory West	
	8/2022 - Present	SVB Investment Services Inc., Head of Wealth Advisory West	
	9/2017 - 8/2022	BNY Mellon Wealth Management, President	
	8/1986 - 6/2017	Merrill Lynch, Divisional Market Executive	
PROFESSIONAL DESIGNATION(S):	No professional designations to disclose.		

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

Tom Fickinger is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Fickinger is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Marc Horgan, Executive Director of Wealth Sales is Mr. Fickinger’s direct supervisor. He can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A

## Ryan Ficks (CRD No: 5069793)

Branch Address: 2770 Sand Hill Road  
Menlo Park, CA 94025

Contact Number: 650.926.0409

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Ryan Ficks (b. 1981)		
EDUCATION:	Northern Arizona University (Bachelor of Science)		
BUSINESS EXPERIENCE:	3/2022 - Present	SVB Wealth LLC, Director, Private Wealth Advisor	
(Past Five Years)	1/2017 - Present	SVB Investment Services Inc., Relationship Manager	
	8/2012 - 12/2018	SVB Private Bank, Associate/Vice President	
	12/2009 - 8/2012	Waddell & Reed, Advisor Associate	

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

Ryan Ficks is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Ficks is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Market Manager, Private Wealth Advisor, is Mr. Ficks's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

**Michael Finley** (CRD No: 4531876)  
Branch Address: 11770 US Highway 1  
Suite E401  
Palm Beach Gardens, FL 33408

Contact Number: 561.494.8359

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Michael Finley (b. 1976)
EDUCATION:	Florida State University (Bachelor of Science)
BUSINESS EXPERIENCE:	5/2016 - Present SVB Wealth LLC, Vice President I, Private Wealth Advisor
(Past Five Years)	10/2014 - 5/2016 Boston Private Wealth LLC, Client Associate
	10/2013 - 10/2014 Banyan Partners, LLC, Senior Client Service Associate
	6/2007 - 7/2013 GenSpring Family Offices, LLC, Family Service Coordinator

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

*No other business activity to disclose.*

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Finley is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Josh Thomas, Director, PBWM Affluent Relationship Managers, is Mr. Finley’s direct supervisor. He can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A



**Ryan Fox (CRD No: 4867310)**

Branch Address: 100 Pine Street  
Suite 2800  
San Fransisco, CA 94111

Contact Number: 415.795.9227

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Ryan Fox (b. 1981)		
EDUCATION:	Boston College (Bachelor of Arts)		
BUSINESS EXPERIENCE:	9/2021 - Present	SVB Wealth LLC, Managing Director, Private Wealth Advisor	
(Past Five Years)	5/2015 - 9/2021	The Northern Trust Company, SVP, Portfolio Manager	
	2/2009 - 4/2015	Highmark Capital Management, Vice President, Portfolio Manager	
PROFESSIONAL DESIGNATION(S):	No professional designations to disclose.		

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

*No other business activity to disclose.*

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Fox is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Market Manager, Private Wealth Advisor, is Mr. Fox’s direct supervisor. He can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A

## **Sandy Galuppo** (CRD No: 2630674)

Branch Address: 53 State Street  
28th Floor  
Boston, MA 02109

Contact Number: 617.223.0265

### **Item 2 – Educational Background and Business Experience**

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Sandy Galuppo (b. 1969)	
EDUCATION:	Boston College (Bachelor of Science)	
BUSINESS EXPERIENCE:	3/2019 - Present	SVB Wealth LLC, Managing Director, Private Wealth Advisor
(Past Five Years)	9/2018 - 4/2019	Corporate Executive Services Consulting, LLC, Principal
	1/2018 – 9/2018	ACP Consulting, Consultant
	3/2017 – 4/2017	Wainwright Investment Counsel, LLC, Senior Vice President
	3/2017 – 4/2017	WFC, LLC, Senior Vice President

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### **Item 3 – Disciplinary Information**

As an investment adviser representative, Sandy is required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of him.

In November 2017, Sandy entered into a Letter of Acceptance, Waiver and Consent ("AWC") with the Financial Industry Regulatory Authority ("FINRA") for the purpose of entering into a settlement to his alleged rule violations of FINRA Rules 2010 and 4511; previously, Galuppo was terminated from Merrill Lynch, Pierce, Fenner & Smith Inc. for conducting improper submission of personal expenses for reimbursement, resulting in management's loss of confidence. Specifically, Sandy consented to FINRA's imposition of a one- (1) year suspension between November 20, 2017 to November 19, 2018 and a \$10,000 fine.

As a result of these incidents, the Massachusetts Securities Division sought to place conditions on Sandy's registration as an IAR of SVB Wealth pursuant to an Undertaking, which went into effect on June 13, 2019. The undertaking required that for a period of thirty (30) months from the date of the entry of the order, Sandy was placed on heightened supervision, which included: review and explanation of his expense reports with his supervisor, Thomas Anderson; monthly Compliance Department reviews with Anderson of Mr. Galuppo's compliance with SVB Wealth's policies and procedures and with the Massachusetts Securities Division's Order; and books and records maintenance supporting the expense reports and expense report approvals. Clients can see a complete description of the sanctions order and regulator statement at <https://www.adviserinfo.sec.gov/IAPD>.

### **Item 4 – Other Business Activities**

*No other business activity to disclose.*

### **Item 5 – Additional Compensation**

*No additional compensation to disclose.*

### **Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person*

*supervising the advisory activities of such supervised person.*

Mr. Galuppo is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Richard Jaffe, Head of Wealth Advisory Northeast, is Mr. Galuppo's direct supervisor. He can be reached at 800.422.6172.

## **Item 7 – Requirements for State-Registered Advisers**

N/A

**Christopher Guarino** (CRD No: 5643768)

Branch Address: 387 Park Avenue South  
2nd Floor  
New York, NY 10016

Contact Number: 845.406.7204

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Christopher Guarino (b. 1988)	
EDUCATION:	Fordham University (Bachelor of Science)	
BUSINESS EXPERIENCE: (Past Five Years)	4/2022 - Present	SVB Wealth LLC, Director, Private Wealth Advisor
	5/2015 - 4/2022	BNY Mellon, Wealth Manager
	12/2011 - 5/2015	Inverness Counsel, Associate
	3/2010 - 12/2011	Merrill Lynch, Associate
PROFESSIONAL DESIGNATION(S):	Certified Financial Planner (CFP®)	

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

*No other business activity to disclose.*

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Guarino is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Mark Childs, Market Manager, Private Wealth Advisor, is Mr. Guarino’s direct supervisor. He can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A

## Eric Hallman (CRD No: 6582291)

Branch Address: 275 Grove Street  
Suite 2-200  
Newton, MA 02466

Contact Number: 512.354.5612

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Eric Hallman (b. 1993)
EDUCATION:	Elmira College (Bachelor of Science)
BUSINESS EXPERIENCE:	6/2022 - Present SVB Wealth LLC, Affluent Wealth Advisor
(Past Five Years)	10/2021 - Present SVB Investment Services Inc., Relationship Manager
	9/2017 - 10/2021 Fidelity Investments, Planning Consultant
	11/2015 - 8/2017 Fidelity Investments, Investment Solutions

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

Eric Hallman is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Hallman is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Josh Thomas, Director, PBWM Affluent Relationship Managers, is Mr. Hallman's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

## **Myles Illion (CRD No: 6622419)**

Branch Address: 2750 East Cottonwood Parkway  
Suite 420  
Salt Lake City, UT 84121

Contact Number: 801.828.8889

### **Item 2 – Educational Background and Business Experience**

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Myles Illion (b. 1991)
EDUCATION:	Rutgers University (Bachelor of Science)
BUSINESS EXPERIENCE:	6/2021 - Present SVB Wealth LLC, Affluent Wealth Advisor
(Past Five Years)	5/2021 - Present SVB Investment Services Inc., Relationship Manager
	2/2020 - 5/2021 J.P. Morgan Chase Bank N.A., Private Client Advisor
	3/2016 - 2/2020 Merrill Edge, Financial Solutions Advisor

PROFESSIONAL DESIGNATION(S): Certified Financial Planner (CFP®)

### **Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

### **Item 4 – Other Business Activities**

Myles Illion is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

### **Item 5 – Additional Compensation**

*No additional compensation to disclose.*

### **Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Illion is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Josh Thomas, Director, PBWM Affluent Relationship Managers, is Mr. Illion's direct supervisor. He can be reached at 800.422.6172.

### **Item 7 – Requirements for State-Registered Advisers**

N/A

## Richard Jaffe (CRD No: 1207985)

Branch Address: 1325 Avenue of the Americas  
14th Floor  
New York, NY 10019

Contact Number: 215.680.2278

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME: Richard Jaffe (b. 1956)

EDUCATION: The Wharton School of the University of Pennsylvania (Masters)  
Lafayette College (Bachelor of Arts)

BUSINESS EXPERIENCE: 1/2021 - Present SVB Wealth LLC, Head of Wealth Advisory Northeast  
(Past Five Years) 12/2019 - 12/2020 Elevate Services, LLC, Consultant  
8/2016 - 12/2019 Wells Fargo Advisors, Managing Director  
2/2007 - 5/2016 Credit Suisse, Managing Director

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

Rich Jaffe is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Jaffe is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Marc Horgan, Executive Director of Wealth Sales is Mr. Jaffe's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

## Peter La Placa (CRD No: 2447206)

Branch Address: 1325 Avenue of the Americas  
14th Floor  
New York, NY 10019

Contact Number: 516.840.6431

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Peter La Placa (b. 1970)
EDUCATION:	Long Island University (Masters) Hofstra University (Bachelor of Business Administration)
BUSINESS EXPERIENCE: (Past Five Years)	10/2015 - Present SVB Wealth LLC, Director, Portfolio Management 2016 - 2020 Citi Private Bank, Investment Counselor 2003 - 2016 Citi Global Markets, Inc., Financial Advisor 2014 - Present Berkeley College, Adjunct Professor
PROFESSIONAL DESIGNATION(S):	Certified Financial Planner (CFP®) Chartered Financial Consultant (ChFC®)

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*No other business activity to disclose.*

### Item 5 – Additional Compensation

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. La Placa is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Michael McCarville, Managing Director, Private Wealth Advisor, is Mr. La Placa's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A



## Ian "Sebastian" Leburn (CRD No: 4164178)

Branch Address: 11770 US Highway 1  
Suite E401  
Palm Beach Gardens, FL 33408

Contact Number: 561.494.8441

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME: Ian "Sebastian" Leburn (b. 1974)  
EDUCATION: Florida State University (Masters)  
Florida State University (Bachelor of Science)  
BUSINESS EXPERIENCE: 10/2014 - Present SVB Wealth LLC, Director, Portfolio Management  
(Past Five Years) 1/2011 - 2/2015 Banyan Partners, LLC., Director of Portfolio Strategies  
11/2006 - 12/2010 Weiss Capital Management, Inc., Chief Investment Officer  
1/2001 - 1/2006 Weiss Capital Management, Inc., Investment Policy Committee  
PROFESSIONAL DESIGNATION(S): Chartered Financial Analyst® (CFA®)

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*No other business activity to disclose.*

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Leburn is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Brent Ciliano, Chief Investment Officer, is Mr. Leburn's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

**William "Courtney" Leffall (CRD No: 5211412)**

Branch Address: 2100 N. Greenville Avenue  
Richardson, TX 75082

Contact Number: 512.372.6786

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	William "Courtney" Leffall (b. 1986)		
EDUCATION:	University of Texas at Austin (Masters) Lehigh University (Bachelor of Science)		
BUSINESS EXPERIENCE:	3/2022 - Present	SVB Wealth LLC, Director, Private Wealth Advisor	
(Past Five Years)	3/2021 - Present	SVB Investment Services Inc., Relationship Manager	
	10/2019 - 3/2021	Apex Clearing Corporation, Sr. Marketing & Technical Product	
	9/2014 - 10/2019	Dimensional Fund Advisors, V.P. Digital Strategy	
PROFESSIONAL DESIGNATION(S):	Certified Financial Planner (CFP®)		

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

Courtney Leffall is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Leffall is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Ro Mehrotra, Head of Wealth Advisory Central and Southeast, is Mr. Leffall's direct supervisor. He can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A

## Ann Lucchesi (CRD No: 1640981)

Branch Address: 505 Howard Street  
3rd Floor  
San Francisco, CA 94105

Contact Number: 415.764.3174

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME: Ann Lucchesi (b. 1964)

EDUCATION: University of California, Berkeley, Haas School of Business (Masters)  
Oregon State University (Bachelor of Arts and Bachelor of Science)

BUSINESS EXPERIENCE: 8/2022 - Present SVB Wealth LLC, Managing Director  
(Past Five Years) 8/2022 - Present SVB Investment Services Inc., Enterprise Relationship Manager  
9/2022 - 8/2022 Parallel Advisors, LLC, Wealth Manager  
8/2013 - 9/2020 SVB Wealth Advisory Inc., Portfolio Advisor

PROFESSIONAL DESIGNATION(S): Certified Financial Planner (CFP®)

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

Ann Lucchesi is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Ms. Lucchesi is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Ro Mehrotra, Head of Wealth Advisory Central and Southeast, is Ms. Lucchesi's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

Jennifer Ma Rechenbach (CRD No: 2002241)

Branch Address: 505 Howard Street  
3rd Floor  
San Francisco, CA 94105

Contact Number: 415.515.9662

Item 2 – Educational Background and Business Experience

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME: Jennifer Ma Rechenbach (b. 1966)

EDUCATION: University of San Francisco (Masters)  
University of California, Santa Cruz (Bachelor of Arts)

BUSINESS EXPERIENCE: 8/2022 - Present SVB Wealth LLC, Managing Director, Private Wealth Advisor  
(Past Five Years) 4/2016 - 8/2022 BNY Mellon Wealth Management, VP, Senior Wealth Manager  
2/2005 - 4/2016 Atherton Lane Advisors, Portfolio Manager

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

Item 4 – Other Business Activities

*No other business activity to disclose.*

Item 5 – Additional Compensation

*No additional compensation to disclose.*

Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Ms. Ma Rechenbach is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Market Manager, Private Wealth Advisor, is Ms. Ma Rechenbach’s direct supervisor. He can be reached at 800.422.6172.

Item 7 – Requirements for State-Registered Advisers

N/A

**Garrett Mancini** (CRD No: 6999411)

Branch Address: 53 State Street  
28th Floor  
Boston, MA 02109

Contact Number: 617.223.0246

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Garrett Mancini (b. 1986)		
EDUCATION:	University of North Carolina at Chapel Hill (Bachelor of Science)		
BUSINESS EXPERIENCE: (Past Five Years)	3/2021 - Present	SVB Wealth LLC, Managing Director, Portfolio Management	
	11/2015 - 3/2021	Boston Private Wealth LLC, Director, Senior Portfolio Manager	
	11/2012 - 12/2014	Boston Private Bank & Trust Co., Fixed Income Trader & Analyst	
	6/2008 - 11/2012	Bank of America, Performance Measurement Analyst	
PROFESSIONAL DESIGNATION(S):	Chartered Financial Analyst® (CFA®)		

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

*No other business activity to disclose.*

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Mancini is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Brent Ciliano, Chief Investment Officer, is Mr. Mancini’s direct supervisor. He can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A

**James Mans (CRD No: 6801445)**

Branch Address: 387 Park Avenue South  
2nd Floor  
New York, NY 10016

Contact Number: 518.527.3495

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME:	James Mans (b. 1995)
EDUCATION:	State University of New York College at Geneseo (Bachelor of Arts)
BUSINESS EXPERIENCE:	2/2022 - Present SVB Wealth LLC, VP II, Private Wealth Advisor
(Past Five Years)	11/2021 - Present SVB Investment Services Inc., Relationship Manager
	11/2019 - 11/2021 BBR Partners, Portfolio and Wealth Advisory Associate
	5/2017 - 11/2019 Merrill Lynch, Investment Analyst
PROFESSIONAL DESIGNATION(S):	No professional designations to disclose.

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

James Mans is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Mans is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Mark Childs, Market Manager, Private Wealth Advisor, is Mr. Mans’s direct supervisor. He can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A

**Marcelo Marinho-Gomes (CRD No: 5644106)**

Branch Address: 2750 East Cottonwood Parkway  
Suite 420  
Salt Lake City, UT 84121

Contact Number: 408.919.0373

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME: Marcelo Marinho-Gomes (b. 1979)

EDUCATION: Grand Canyon University (Masters)  
Arizona State University (Bachelor of Science)

BUSINESS EXPERIENCE: 6/2021 - Present SVB Wealth LLC, Affluent Wealth Advisor  
(Past Five Years) 11/2021 - Present SVB Investment Services Inc., Relationship Manager  
11/2016 - 11/2021 Wells Fargo, Private Banker  
2/2012 - 11/2013 Wells Fargo Advisors, Financial Advisor  
11/2003 - 2/2012 Wells Fargo, Private Banker

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

Marcelo Marinho-Gomes is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Marinho-Gomes is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Josh Thomas, Director, PBWM Affluent Relationship Managers, is Mr. Marinho-Gomes’s direct supervisor. He can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A

## Robert Mastrogiacomo (CRD No: 7548109)

Branch Address: 53 State Street  
28th Floor  
Boston, MA 02109

Contact Number: 781.361.5800

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME: Robert Mastrogiacomo (b. 1997)  
EDUCATION: Boston College (Economics)

BUSINESS EXPERIENCE: (Past Five Years)	1/2021 - Present	SVB Wealth LLC, Investment Advisor Associate
	8/2019 - Present	Army National Guard, National Guard Officer Part Time
	2/2017 - 12/2021	Gibson Sotheby's International Realty, Operations Officer

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*No other business activity to disclose.*

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Mastrogiacomo is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Jodi MacNeil, Advisor Development Program Director, is Mr. Mastrogiacomo's direct supervisor. She can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A



## Michael McNabb (CRD No: 1134091)

Branch Address: 53 State Street  
28th Floor  
Boston, MA 02109

Contact Number: 617.223.0273

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME: Michael McNabb (b. 1958)  
EDUCATION: Suffolk University (Masters)  
Suffolk University (Bachelor of Science)  
BUSINESS EXPERIENCE: 7/2019 - Present SVB Wealth LLC, Director, Private Wealth Advisor  
(Past Five Years) 11/2014 - 6/2019 Wells Fargo Private Bank, Wealth Advisor  
PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*No other business activity to disclose.*

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. McNabb is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Richard Jaffe, Head of Wealth Advisory Northeast, is Mr. McNabb's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

## Jason Mcpharlin (CRD No: 4801219)

Branch Address: 11770 US Highway 1  
Suite E401  
Palm Beach Gardens, FL 33408

Contact Number: 561.494.8388

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME: Jason Mcpharlin (b. 1969)

EDUCATION: Thunderbird School of Global Management (Masters)  
Nova Southeastern University (Masters)  
Florida Atlantic University (Bachelor of Science)

BUSINESS EXPERIENCE: 10/2014 - Present SVB Wealth LLC, Managing Director, Private Wealth Advisor  
(Past Five Years) 10/2013 - 2/2015 Banyan Partners, LLC, Senior Portfolio Manager  
1/2011 - 10/2013 Rushmore Investment Advisors, Inc., Portfolio Manager  
1/2003 - 1/2011 Northstar Capital Management, Inc., Portfolio Manager

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*No other business activity to disclose.*

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Mcpharlin is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Stephen Mergler, Market Manager, Private Wealth Advisor, is Mr. Mcpharlin's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

## Rohit “Ro” Mehrotra (CRD No: 5030342)

Branch Address: One Tower Bridge 100 Front Street  
Suite 1340  
West Conshohocken, PA 19428

Contact Number: 917.209.3359

### Item 2 – Educational Background and Business Experience

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME: Rohit “Ro” Mehrotra (b. 1973)

EDUCATION: Dartmouth College, Tuck School of Business (Masters)  
Cornell University (Bachelor of Science)

BUSINESS EXPERIENCE:	11/2021 - Present	SVB Wealth LLC, Head of Wealth Advisory Central and Southeast
(Past Five Years)	11/2021 - Present	SVB Investment Services Inc., Head of Wealth Advisory C & SE
	10/2010 - 11/2021	J.P. Morgan Chase Bank, N.A., Managing Director, Team Lead
	9/2005 - 10/2010	Goldman Sachs & Co., Vice President

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

Ro Mehrotra is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Mehrotra is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Marc Horgan, Executive Director of Wealth Sales is Mr. Mehrotra’s direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

## Stephen Mergler (CRD No: 2873285)

Branch Address: 11770 US Highway 1  
Suite E401  
Palm Beach Gardens, FL 33408

Contact Number: 786.532.2785

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME: Stephen Mergler (b. 1965)  
EDUCATION: University of Florida (Juris Doctor)  
University of Florida (Bachelor of Arts)  
BUSINESS EXPERIENCE: 11/2014 - Present SVB Wealth LLC, Market Manager, Private Wealth Advisor  
(Past Five Years) 10/2013 - 2/2015 Banyan Partners, LLC, Senior Client Advisor  
4/2011 - 10/2013 Rushmore Investment Advisors, Inc., Portfolio Manager  
7/2000 - 4/2011 Northstar Capital Management, Inc., President/Portfolio Manager  
PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*No other business activity to disclose.*

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Mergler is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Ro Mehrotra, Head of Wealth Advisory Central and Southeast, is Mr. Mergler's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

## **Lance Millar (CRD No: 4987888)**

Branch Address: 100 Pine Street  
Suite 2800  
San Francisco, CA 94111

Contact Number: 415.795.9253

### **Item 2 – Educational Background and Business Experience**

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Lance Millar (b. 1968)		
EDUCATION:	University of California, Davis (Bachelor of Arts)		
BUSINESS EXPERIENCE:	10/2014 - Present	SVB Wealth LLC, Managing Director, Private Wealth Advisor	
(Past Five Years)	1/2011 - 2/2015	Banyan Partners, LLC, Senior Client Advisor	
	3/2007 - 1/2011	Weiss Capital, Financial Advisor	

PROFESSIONAL DESIGNATION(S): Certified Financial Planner (CFP®)

### **Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

### **Item 4 – Other Business Activities**

*No other business activity to disclose.*

### **Item 5 – Additional Compensation**

*No additional compensation to disclose.*

### **Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Millar is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Market Manager, Private Wealth Advisor, is Mr. Millar's direct supervisor. He can be reached at 800.422.6172.

### **Item 7 – Requirements for State-Registered Advisers**

N/A

## Lorraine Monick (CRD No: 5875810)

Branch Address: 1441 Brickell Avenue  
Suite 1530  
Miami, FL 33131

Contact Number: 650.465.6988

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

**NAME:** Lorraine Monick (b. 1960)  
**EDUCATION:** University of Victoria (Masters)  
University of Victoria (Bachelor of Economics)  
**BUSINESS EXPERIENCE:** 3/2022 - Present SVB Wealth LLC, Managing Director, Portfolio Management  
(Past Five Years) 6/2013 - Present SVB Investment Services Inc., Relationship Manager  
11/2010 - 1/2013 Harris myCFO, Managing Director  
3/2009 - 11/2010 Mt. Eden Investment Advisors, Manager Director  
10/2000 - 3/2009 BNY Mellon, Wealth Management, Senior Director  
**PROFESSIONAL DESIGNATION(S):** Certified Financial Planner (CFP®)  
Chartered Alternative Investment Analyst (CAIASM)  
Chartered Financial Analyst® (CFA®)

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

Lorraine Monick is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Ms. Monick is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Gerald Baker, Head of Trust & Fiduciary, is Ms. Monick's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

**Richard Mullaney** (CRD No: 6920608)

Branch Address: 53 State Street  
28th Floor  
Boston, MA 02109

Contact Number: 617.223.0255

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Richard Mullaney (b. 1988)		
EDUCATION:	New England College of Business (Masters) University of Connecticut (Bachelor of Arts)		
BUSINESS EXPERIENCE:	3/2018 - Present	SVB Wealth LLC, Managing Director, Private Wealth Advisor	
(Past Five Years)	4/2014 - 3/2018	Boston Private Wealth LLC, Client Advisor Associate	
	4/2012 - 4/2014	Boston Private Bank & Trust Co., Client Service Representative	
PROFESSIONAL DESIGNATION(S):	Certified Financial Planner (CFP®)		

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

*No other business activity to disclose.*

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Mullaney is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Richard Jaffe, Head of Wealth Advisory Northeast, is Mr. Mullaney’s direct supervisor. He can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A

**Alexander Murray (CRD No: 5594764)**

Branch Address: 200 Spectrum Center Drive  
Suite 1420  
Irvine, CA 92618

Contact Number: 919.491.8159

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME: Alexander Murray (b. 1978)  
EDUCATION: University of North Carolina Chapel Hill (Masters)  
United States Naval Academy (Bachelor of Science)  
BUSINESS EXPERIENCE: 8/2022 - Present SVB Wealth LLC, Managing Director, Private Wealth Advisor  
(Past Five Years) 5/2017 - 7/2022 JPMorgan, Investment Specialist  
4/2012 - 5/2017 PIMCO, Vice President  
PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

*No other business activity to disclose.*

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Murray is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Market Manager, Private Wealth Advisor, is Mr. Murray’s direct supervisor. He can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A



**Peter Muscat** (CRD No: 5347658)

Branch Address: 505 Howard Street  
3rd Floor  
San Fransisco, CA 94105

Contact Number: 650.455.9743

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Peter Muscat (b. 1982)		
EDUCATION:	University of California Los Angeles (Bachelor of Science)		
BUSINESS EXPERIENCE:	9/2022 - Present	SVB Wealth LLC, Director, Private Wealth Advisor	
(Past Five Years)	5/2022 - Present	SVB Investment Services Inc., Relationship Manager	
	5/2014 - 4/2022	Metropolitan Capital Investment Banks, Advisor	
	7/2013 - 4/2022	Konsulent Kapital LLC, Founder	

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

*No other business activity to disclose.*

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Muscat is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Market Manager, Private Wealth Advisor, is Mr. Muscat’s direct supervisor. He can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A

## Thomas O'Keefe (CRD No: 6515869)

Branch Address: 505 Howard Street  
3rd Floor  
San Francisco, CA 94105

Contact Number: 415.764.2468

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME: Thomas O'Keefe (b. 1983)

EDUCATION: University of San Francisco (Masters)  
Santa Clara University (Bachelor of Science)

BUSINESS EXPERIENCE: 6/2022 - Present SVB Wealth LLC, Managing Director, Investment Strategy  
(Past Five Years) 7/2013 - Present SVB Investment Services Inc., Head of Investment Strategy  
1/2006 - 7/2013 Hall Capital Partners, Associate

PROFESSIONAL DESIGNATION(S): Chartered Financial Analyst® (CFA®)

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

Tom O'Keefe is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. O'Keefe is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Brent Ciliano, Chief Investment Officer, is Mr. O'Keefe's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

## Michael Onorato (CRD No: 2952987)

Branch Address: 53 State Street  
28th Floor  
Boston, MA 02109

Contact Number: 617.223.0241

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Michael Onorato (b. 1971)
EDUCATION:	Bentley University (Bachelor of Science)
BUSINESS EXPERIENCE:	5/2015 - Present SVB Wealth LLC, Managing Director, Private Wealth Advisor
(Past Five Years)	8/2009 - 2/2015 U.S. Trust, Portfolio Manager
	10/2007 - 8/2009 Columbia Management Distributors, Inc., Client Services Manager
PROFESSIONAL DESIGNATION(S):	Certified Financial Planner (CFP®)

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*No other business activity to disclose.*

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Onorato is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Richard Jaffe, Head of Wealth Advisory Northeast, is Mr. Onorato's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

**Maximilian "Max" Ortiz** (CRD No: 5374123)

Branch Address: 505 Howard Street  
3rd Floor  
San Fransisco, CA 94105

Contact Number: 415.636.1336

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Maximilian "Max" Ortiz (b. 1986)
EDUCATION:	University of California, Santa Cruz (Bachelor of Arts)
BUSINESS EXPERIENCE:	3/2022 - Present SVB Wealth LLC, Director, Private Wealth Advisor
(Past Five Years)	7/2021 - Present SVB Investment Services Inc., Relationship Manager
	5/2017 - 7/2021 Bank of America Private Bank, Private Client Manager
	1/2012 - 5/2017 Hall Capital Partners LLC, Associate/Analyst

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

Max Ortiz is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Ortiz is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Market Manager, Private Wealth Advisor, is Mr. Ortiz’s direct supervisor. He can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A

**Garek Parry (CRD No: 6242143)**

Branch Address: 2750 East Cottonwood Parkway  
Suite 420  
Salt Lake City, UT 84121

Contact Number: 801.928.8689

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Garek Parry (b. 1989)	
EDUCATION:	Western Governor’s University (Business Management Program)	
BUSINESS EXPERIENCE:	6/2021 - Present	SVB Wealth LLC, Affluent Wealth Advisor
(Past Five Years)	12/2020 - Present	SVB Investment Services Inc., Relationship Manager
	9/2012 - 12/2020	Wells Fargo Bank, Premier Banker
	8/2011 - 12/2020	Wells Fargo Advisors, Brokerage Associate

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

Garek Parry is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Parry is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Josh Thomas, Director, PBWM Affluent Relationship Managers, is Mr. Parry’s direct supervisor. He can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A

Casey Paton (CRD No: 5382194)

Branch Address: 53 State Street  
28th Floor  
Boston, MA 02109

Contact Number: 617.834.1753

Item 2 – Educational Background and Business Experience

This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.

NAME: Casey Paton (b. 1979)  
EDUCATION: Yale School of Management (Masters)  
University of Central Arkansas (Bachelor of Business Administration)  
BUSINESS EXPERIENCE: 2/2022 - Present SVB Wealth LLC, VP II, Private Wealth Advisor  
(Past Five Years) 3/2021 - Present SVB Investment Services Inc., Relationship Manager  
7/2020 - 9/2021 Merrill Lynch, Financial Advisor  
4/2019 - 3/2020 Northwestern Mutual, Financial Advisor  
9/2015 - 8/2018 Bunker Hill Community College, Employer Relationship Coordinator & Educator

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

Item 3 – Disciplinary Information

No material legal or disciplinary events to disclose.

Item 4 – Other Business Activities

Casey Paton is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

Item 5 – Additional Compensation

No additional compensation to disclose.

Item 6 – Supervision

This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.

Mr. Paton is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Dave Buxton, Market Manager, Private Wealth Advisor, is Mr. Paton’s direct supervisor. He can be reached at 800.422.6172.

Item 7 – Requirements for State-Registered Advisers

N/A

**Nancy Perez** (CRD No: 4345087)

Branch Address: 1441 Brickell Avenue  
Suite 1530  
Miami, FL 33131

Contact Number: 786.532.2745

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Nancy Perez (b. 1965)		
EDUCATION:	University of Miami (Bachelor of Science)		
BUSINESS EXPERIENCE:	10/2014 - Present	SVB Wealth LLC, Managing Director, Private Wealth Advisor	
(Past Five Years)	11/2011 - 2/2015	Banyan Partners, Managing Director	
	3/1999 - 11/2011	Earl M. Foster Associates, Inc., Vice President and Senior Investment Officer	

PROFESSIONAL DESIGNATION(S): Chartered Financial Analyst® (CFA®)

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

*No other business activity to disclose.*

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Ms. Perez is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Stephen Mergler, Market Manager, Private Wealth Advisor, is Ms. Perez’s direct supervisor. He can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A

## Paul Perillo (CRD No: 4574252)

Branch Address: 387 Park Avenue South  
2nd Floor  
New York, NY 10016

Contact Number: 202.277.9456

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Paul Perillo (b. 1980)
EDUCATION:	Georgetown University, McDonough School of Business (Bachelor of Science)
BUSINESS EXPERIENCE:	2/2022 - Present SVB Wealth LLC, Managing Director, Private Wealth Advisor
(Past Five Years)	11/2021 - Present SVB Investment Services Inc., Relationship Manager
	8/2019 - 11/2021 HSBC Private Banking, Senior Vice President
	1/2015 - 5/2019 J.P. Morgan Private Bank, Senior Private Banker

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

Paul Perillo is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Perillo is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Mark Childs, Market Manager, Private Wealth Advisor, is Mr. Perillo's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A



**Marcel Pfister (CRD No: 6058801)**

Branch Address: 387 Park Avenue South  
2nd Floor  
New York, NY 10016

Contact Number: 215.317.7077

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Marcel Pfister (b. 1988)	
EDUCATION:	Drexel University, LeBow College of Business (Bachelor of Business Administration)	
BUSINESS EXPERIENCE:	12/2022 - Present	SVB Wealth LLC, VP II, Private Wealth Advisor
(Past Five Years)	8/2021 - 12/2022	Farther Finance Advisors, LLC, Financial Advisor
	7/2014 - 9/2020	Goldman Sachs & Co., Investment Advisor
	4/2013 - 6/2020	Blackrock, Financial Analyst

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

*No other business activity to disclose.*

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Pfister is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Mark Childs, Market Manager, Private Wealth Advisor, is Mr. Pfister’s direct supervisor. He can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A

## Stewart Preziose (CRD No: 5515729)

Branch Address: 100 Pine Street  
Suite 2800  
San Francisco, CA 94111

Contact Number: 415.795.9256

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Stewart Preziose (b. 1985)
EDUCATION:	Wheaton College (Bachelor of Arts)
BUSINESS EXPERIENCE:	7/2019 - Present SVB Wealth LLC, Director, Private Wealth Advisor
(Past Five Years)	8/2018 - 7/2019 Kayne Anderson Rudnick, Wealth Advisor Associate
	11/2017 - 8/2018 Avensby LLC, Managing Member
	8/2015 - 11/2017 Chequers Financial Management, LLC, Investment Adviser Representative
	5/2013 - 8/2015 BNY Mellon Wealth Management, Family Office Associate
	11/2012 - 5/2013 Spartan Training Group, LLC, Sales Associate

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*No other business activity to disclose.*

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Preziose is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Market Manager, Private Wealth Advisor, is Mr. Preziose's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

Jeffrey Rhineheart (CRD No: 7371361)

Branch Address: 3300 Cumberland Blvd SE,  
Atlanta, GA 30339

Contact Number: 678.419.5040

Item 2 – Educational Background and Business Experience

This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.

NAME:	Jeffrey Rhineheart (b. 1968)	
EDUCATION:	Berry College (B.S. Accounting)	
BUSINESS EXPERIENCE: (Past Five Years)	7/2023 – Present	SVB Wealth LLC, Institutional Consultant Expansion
	2/2022 - Present	First Citizens Asset Management (FCAM), Institutional Consultant
	5/2021 - Present	First Citizens Investor Services, INC. (FCIS), Institutional Consultant
	5/2021 - Present	First Citizens Bank, Institutional Consultant Expansion
	05/1991 – 02/2021	SunTrust Bank, Employee Benefit Strategist

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

Item 3 – Disciplinary Information

No material legal or disciplinary events to disclose.

Item 4 – Other Business Activities

No other business activity to disclose.

Item 5 – Additional Compensation

No additional compensation to disclose.

Item 6 – Supervision

This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.

Mr. Rhineheart is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Sherwood Blackwood, Senior Manager Institutional Trust Sales, is Mr. Rhineheart’s direct supervisor. He can be reached at 919-716-4726.

Item 7 – Requirements for State-Registered Advisers

N/A

**Jared Schumann** (CRD No: 5824690)

Branch Address: 1325 Avenue of the Americas  
14th Floor  
New York, NY 10019

Contact Number: 212.355.0346

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME: Jared Schumann (b. 1985)  
EDUCATION: University of Connecticut (Masters)  
Westfield State University (Masters)  
BUSINESS EXPERIENCE: 4/2021 - Present SVB Wealth LLC, Director, Portfolio Management  
(Past Five Years) 11/2010 - 4/2021 Barclays Wealth Americas, Analyst  
PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

*No other business activity to disclose.*

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Schumann is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Richard Jaffe, Head of Wealth Advisory Northeast, is Mr. Schumann’s direct supervisor. He can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A

## Pablo Serna (CRD No: 2476441)

Branch Address: 2770 Sand Hill Road  
Menlo Park, CA 94025

Contact Number: 650.926.0177

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Pablo Serna (b. 1964)		
EDUCATION:	San Jose State University (Bachelor of Science)		
BUSINESS EXPERIENCE:	3/2022 - Present	SVB Wealth LLC, Director, Private Wealth Advisor	
(Past Five Years)	7/2019 - Present	SVB Investment Services Inc., Relationship Manager	
	6/2011 - 7/2019	SVB Private Bank, Mortgage Advisor	
	11/2010 - 6/2011	Borel Private Bank and Trust Co., Mortgage Officer	

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

Pablo Serna is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Serna is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Market Manager, Private Wealth Advisor, is Mr. Serna's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

## Jorge Setoain (CRD No: 6793801)

Branch Address: 387 Park Avenue South  
2nd Floor  
New York, NY 10016

Contact Number: 347.208.9659

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Jorge Setoain (b. 1990)	
EDUCATION:	Universitat Pompeu Fabra (Bachelor)	
BUSINESS EXPERIENCE:	10/2022 - Present	SVB Wealth LLC, VP II, Private Wealth Advisor
(Past Five Years)	5/2022 - 6/2022	Coinbase, Institutional Account Manager
	4/2019 - 5/2022	Citigroup, Associate Banker, Vice President
	5/2017 - 5/2019	Morgan Stanley, Wealth Advisory Associate
	9/2016 - 5/2017	Telam Global Partners, Senior Associate
	11/2014 - 9/2016	32 Advisors, Senior Associate

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*No other business activity to disclose.*

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Setoain is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Mark Childs, Market Manager, Private Wealth Advisor, is Mr. Setoain's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

**Brian Smith (CRD No: 2901832)**

Branch Address: 11770 US Highway 1  
Suite E401  
Palm Beach Gardens, FL 33408

Contact Number: 561.494.8365

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME: Brian Smith (b. 1960)  
EDUCATION: Pace University, Lubin School of Business (Masters)  
Middlebury College (Bachelor of Arts)  
BUSINESS EXPERIENCE: 6/2020 - Present SVB Wealth LLC, Director, Private Wealth Advisor  
(Past Five Years) 12/2017 - 10/2019 Fieldpoint Private, Managing Director, Relationship Manager  
7/2000 - 12/2017 First Republic Bank, Senior Managing Director  
PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

*No other business activity to disclose.*

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Smith is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Stephen Mergler, Market Manager, Private Wealth Advisor, is Mr. Smith’s direct supervisor. He can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A

## Meghan Spear (CRD No: 4499650)

Branch Address: 1441 Brickell Avenue  
Suite 1530  
Miami, FL 33131

Contact Number: 617.501.1218

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Meghan Spear (b. 1979)
EDUCATION:	Emerson College (Bachelor of Science)
BUSINESS EXPERIENCE:	3/2020 - Present SVB Wealth LLC, Managing Director
(Past Five Years)	9/2022 - Present SVB Investment Services Inc., Managing Director
	3/2019 - 2/2020 Yipidata Inc., Business Development Executive
	8/2014 - 2/2019 Mosaic Research Management, LLC., Vice President of Sales
	5/2013 - 7/2014 Alphasense Inc., Vice President of Sales

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*Meghan Spear is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.*

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Ms. Spear is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Dave Kasouf, Head of Capital Markets, is Ms. Spear's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A



**Mark Stevenson (CRD No: 1516084)**

Branch Address: 2770 Sand Hill Road  
Menlo Park, CA 94025

Contact Number: 650.926.0149

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME: Mark Stevenson (b. 1954)  
EDUCATION: University of Washington (Masters)  
University of Oregon (Bachelor of Science)  
BUSINESS EXPERIENCE: 3/2022 - Present SVB Wealth LLC, Managing Director, Private Wealth Advisor  
(Past Five Years) 1/2017 - Present SVB Investment Services Inc., Relationship Manager  
1/2011 - 1/2017 SVB Private Bank, Director  
PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

*Mark Stevenson is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.*

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Stevenson is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Market Manager, Private Wealth Advisor, is Mr. Stevenson’s direct supervisor. He can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A

**Cassandra Stokes** (CRD No: 6547254)

Branch Address: 1437 7th Street  
Suite 300  
Santa Monica, CA 90401

Contact Number: 818.382.2629

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME: Cassandra Stokes (b. 1975)  
EDUCATION: UCLA Anderson School of Management (Masters)  
Harvard Kennedy School (Masters)  
University of California, Los Angeles (Bachelor of Arts)  
BUSINESS EXPERIENCE: 3/2022 - Present SVB Wealth LLC, Managing Director, Private Wealth Advisor  
(Past Five Years) 10/2019 - Present SVB Investment Services Inc., Relationship Manager  
1/2018 - 10/2019 Comerica Bank, Assistant Vice President  
8/2015 - 1/2018 J.P. Morgan Private Bank, Associate  
PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

*Cassandra Stokes is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.*

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Ms. Stokes is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Market Manager, Private Wealth Advisor, is Ms. Stokes’s direct supervisor. He can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A

**Scott Swenson** (CRD No: 1235167)

Branch Address: 11770 US Highway 1  
Suite E401  
Palm Beach Gardens, FL 33408

Contact Number: 561.494.8364

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Scott Swenson (b. 1956)		
EDUCATION:	Ithaca College (Bachelor of Arts)		
BUSINESS EXPERIENCE:	10/2014 - Present	SVB Wealth LLC, VP I, PBWM Portfolio Management	
(Past Five Years)	1/2011 - 2/2015	Banyan Partners, LLC, Senior Portfolio Advisor	
	6/2009 - 12/2010	Weiss Capital Management, Inc., Financial Advisor	
	4/2008 - 5/2009	National Securities Corporation, Registered Representative	
PROFESSIONAL DESIGNATION(S):	No professional designations to disclose.		

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

*No other business activity to disclose.*

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Swenson is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Keith Gentile, Managing Director, PBWM Portfolio Management, is Mr. Swenson’s direct supervisor. He can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A

**Marc Tabah (CRD No: 1729090)**

Branch Address: 1325 Avenue of the Americas  
14th Floor  
New York, NY 10019

Contact Number: 646.344.2348

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME: Marc Tabah (b. 1962)

EDUCATION: Columbia University, School of International and Public Affairs (Masters)  
Middlebury College (Bachelor of Arts)

BUSINESS EXPERIENCE: 3/2020 - Present SVB Wealth LLC, Enterprise Relationship Manager  
(Past Five Years) 3/2018 - 3/2020 Forester Capital, Consultant  
9/2011 - 1/2018 Lazard Asset Management, Director of Institutional Sales and Client Service

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

*No other business activity to disclose.*

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Tabah is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Ro Mehrotra, Head of Wealth Advisory Central and Southeast, is Mr. Tabah’s direct supervisor. He can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A

Joshua Thomas (CRD No: 2450518)

Branch Address: 2750 East Cottonwood Parkway  
Suite 420  
Salt Lake City, UT 84121

Contact Number: 801.977-3650

Item 2 – Educational Background and Business Experience

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME: Joshua Thomas (b. 1972)  
EDUCATION: Xavier University (Bachelor of Science)  
BUSINESS EXPERIENCE: 6/2022 - Present Director, PBWM Affluent Relationship Managers  
(Past Five Years) 1/2020 - Present SVB Investment Services Inc., Director  
9/2008 - 1/2020 Wells Fargo Advisors, Complex Operations Manager  
11/1993 - 9/2008 Fidelity Investments, Wealth Relationship Manager

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

Item 4 – Other Business Activities

*Josh Thomas is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.*

Item 5 – Additional Compensation

*No additional compensation to disclose.*

Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Thomas is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Ro Mehrotra, Head of Wealth Advisory Central and Southeast, is Mr. Thomas’s direct supervisor. He can be reached at 800.422.6172.

Item 7 – Requirements for State-Registered Advisers

N/A

## Flavia Trento (CRD No: 2765813)

Branch Address: 100 Pine Street  
Suite 2800  
San Francisco, CA 94111

Contact Number: 415.795.9228

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME: Flavia Trento (b. 1968)

EDUCATION: University of California, Los Angeles (Masters)  
University of California, Berkeley (Bachelor of Arts)

BUSINESS EXPERIENCE: 9/2021 - Present SVB Wealth LLC, Managing Director, Private Wealth Advisor  
(Past Five Years) 11/2012 - 9/2021 The Northern Trust Company, SVP, Portfolio Manager  
4/2004 - 11/2012 Highmark Capital, Vice President, Portfolio Manager

PROFESSIONAL DESIGNATION(S): Chartered Financial Analyst® (CFA®)  
Certified Private Wealth Advisor® (CPWA®)

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*No other business activity to disclose.*

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Ms. Trento is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Market Manager, Private Wealth Advisor, is Ms. Trento's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

**Andrew Vrachimis (CRD No: 7320210)**

Branch Address: 1325 Avenue of the Americas  
14th Floor  
New York, NY 10019

Contact Number: 212.355.0346

**Item 2 – Educational Background and Business Experience**

*This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Andrew Vrachimis (b. 1989)		
EDUCATION:	Lafayette College (Bachelor of Arts)		
BUSINESS EXPERIENCE:	9/2020 - Present	SVB Wealth LLC, Director, Portfolio Management	
(Past Five Years)	7/2014 - 9/2020	First Republic Investment Management, Associate Director	
	7/2011 - 7/2014	Realogy Corporation, Analyst	
PROFESSIONAL DESIGNATION(S):	No professional designations to disclose.		

**Item 3 – Disciplinary Information**

*No material legal or disciplinary events to disclose.*

**Item 4 – Other Business Activities**

*No other business activity to disclose.*

**Item 5 – Additional Compensation**

*No additional compensation to disclose.*

**Item 6 – Supervision**

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Vrachimis is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Katia Friend, Market Leader, New York Wealth Advisory, is Mr. Vrachimis’s direct supervisor. She can be reached at 800.422.6172.

**Item 7 – Requirements for State-Registered Advisers**

N/A

## Vishal Wadhwa (CRD No: 2919820)

Branch Address: 100 Pine Street  
Suite 2800  
San Francisco, CA 94111

Contact Number: 917.318.3000

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Vishal Wadhwa (b. 1969)	
EDUCATION:	Long Island University (Masters)	
BUSINESS EXPERIENCE:	11/2021 - Present	SVB Wealth LLC, Senior Managing Director, Private Wealth Advisor
(Past Five Years)	4/2022 - Present	SVB Investment Services Inc., Relationship Manager
	8/2017 - 10/2021	Wells Fargo Bank, Family Office Relationship Manager
	8/2012 - 8/2017	Bank of America, Private Client Advisor
	5/2007 - 8/2012	Citibank, Private Client Advisor

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*Vishal Wadhwa is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.*

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Wadhwa is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Market Manager, Private Wealth Advisor, is Mr. Wadhwa's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A



## Arend "Ari" Warmerdam (CRD No: 7296698)

Branch Address: 2770 Sand Hill Road  
Menlo Park, CA 94025

Contact Number: 415.513.6008

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME: Arend "Ari" Warmerdam (b. 1984)

EDUCATION: University of San Francisco (Masters)

Columbia University (Masters)

University of California, Davis (Bachelor of Arts)

BUSINESS EXPERIENCE: 3/2022 - Present SVB Wealth LLC, VP II, Private Wealth Advisor

(Past Five Years) 9/2021 - Present SVB Investment Services Inc., Relationship Manager

9/2020 - 8/2021 Fisher Investments, Investment Advisor

3/2017 - 4/2020 Whittier Trust Company, Business Development Officer/Client Advisor

PROFESSIONAL DESIGNATION(S): No professional designations to disclose.

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

Ari Warmerdam is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Mr. Warmerdam is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Market Manager, Private Wealth Advisor, is Mr. Warmerdam's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

## Lana Xiao (CRD No: 6602908)

Branch Address: 505 Howard Street  
3rd Floor  
San Francisco, CA 94105

Contact Number: 415.312.6240

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME: Lana Xiao (b. 1988)

EDUCATION: London School of Economics (Masters)  
University of San Francisco (Bachelor of Science)

BUSINESS EXPERIENCE:	2/2022 - Present	SVB Wealth LLC, VP II, Private Wealth Advisor
(Past Five Years)	6/2021 - Present	SVB Investment Services Inc., Relationship Manager
	12/2019 - 6/2021	Summitry LLC, Financial Advisor
	2/2016 - 11/2019	Wells Fargo Private Bank, Wealth Planner
	12/2014 - 1/2016	First Republic Bank, Financial Planning Associate

PROFESSIONAL DESIGNATION(S): Certified Financial Planner (CFP®)  
Certified Divorce Financial Analyst (CDFA®)

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

Lana Xiao is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Ms. Xiao is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Market Manager, Private Wealth Advisor, is Ms. Xiao's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

## Winifred Yam (CRD No: 7447911)

Branch Address: 100 Pine Street  
Suite 2800  
San Francisco, CA 94111

Contact Number: 415.335.2186

### Item 2 – Educational Background and Business Experience

*This section states the supervised person's formal education after high school, business background for the last five years and certain professional designations.*

NAME:	Winifred Yam (b. 1978)		
EDUCATION:	San Francisco State University (Bachelor of Arts)		
BUSINESS EXPERIENCE:	9/2021 - Present	SVB Wealth LLC, VP II, Private Wealth Advisor	
(Past Five Years)	12/2004 - 9/2021	The Northern Trust Company, Portfolio Manager	
PROFESSIONAL DESIGNATION(S):	Certified Financial Planner (CFP®)		

### Item 3 – Disciplinary Information

*No material legal or disciplinary events to disclose.*

### Item 4 – Other Business Activities

*No other business activity to disclose.*

### Item 5 – Additional Compensation

*No additional compensation to disclose.*

### Item 6 – Supervision

*This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.*

Ms. Yam is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Thomas Fickinger, Market Manager, Private Wealth Advisor, is Ms. Yam's direct supervisor. He can be reached at 800.422.6172.

### Item 7 – Requirements for State-Registered Advisers

N/A

Joan Young (CRD No: 1323315)

Branch Address: 1325 Avenue of the Americas  
14th Floor  
New York, NY 10019

Contact Number: 347.224.1821

Item 2 – Educational Background and Business Experience

This section states the supervised person’s formal education after high school, business background for the last five years and certain professional designations.

NAME:	Joan Young (b. 1956)		
EDUCATION:	Harvard Law School (Juris Doctor)		
	Bryn Mawr College (Bachelor of Arts)		
BUSINESS EXPERIENCE: (Past Five Years)	8/2019 - Present	SVB Wealth LLC, Managing Director, MFO Relationship Management	
	9/2022 - Present	SVB Investment Services Inc., Managing Director, MFO Relationship Management	
	1/2017 - 12/2020	Silver Leaf Partners, LLC, Registered Representative	
	10/2015 - 12/2016	Lombard International, Senior Managing Director	
PROFESSIONAL DESIGNATION(S):	No professional designations to disclose.		

Item 3 – Disciplinary Information

No material legal or disciplinary events to disclose.

Item 4 – Other Business Activities

Joan Young is a registered representative of SVB Investment Services Inc. ("SVBIS"), an affiliated broker-dealer of SVB Wealth LLC.

Item 5 – Additional Compensation

Item 6 – Supervision

This section describes how SVBW monitors the advice provided by the supervised person and identifies the person supervising the advisory activities of such supervised person.

Ms. Young is a Supervised Person and an Access Person (as defined under Rule 204A-1 of the Investment Advisers Act) of SVBW and, as such, is subject to the SVBW compliance policies and procedures, the SVB Code of Conduct, and is required to complete regular compliance training.

Dave Kasouf, Head of Capital Markets, is Ms. Young’s direct supervisor. He can be reached at 800.422.6172.

Item 7 – Requirements for State-Registered Advisers

N/A

## SUMMARY OF PROFESSIONAL DESIGNATIONS

The below summary of professional designations is provided to assist you in evaluating the credentials noted in this brochure supplement that are held by certain investment associates of SVB Private. We encourage you also to view the specific websites noted under each designation description as well as “Understanding Professional Designations,” a public resource offered by FINRA at the following website: <http://apps.finra.org/DataDirectory/1/prodesignations.aspx>

### CERTIFIED INVESTMENT MANAGEMENT ANALYST<sup>SM</sup> – CIMA<sup>®</sup>

**Issued by:** Investments & Wealth Institute

**Prerequisites/Experience required:**

- Submit CIMA<sup>®</sup> certification application and pass a background check
- Study for (100 hours) and pass a two-hour Qualification Examination

**Educational Requirements:**

- Successfully complete an in-person or online executive education program at a top-20 business school registered with the institute

**Examination Type:**

- Two examinations multiple choice

**Continuing Education/Experience Requirements:**

- Document a minimum of three years work experience in financial services, pass a secondary background check, pay initial certification fee, sign a license agreement, and agree to adhere to the institute's Ethics and other ongoing standards

**Website:** [www.investmentsandwealth.org/CIMA](http://www.investmentsandwealth.org/CIMA)

### CERTIFIED FINANCIAL PLANNER – CFP<sup>®</sup>

**Issued by:** Certified Financial Planner Board of Standards, Inc.

**Prerequisites/Experience required:**

Candidates must meet one of the following:

- A bachelor's degree (or higher) from an accredited college or university, and
- 3 years full-time personal financial planning experience

**Educational Requirements:**

- Complete a CFP<sup>®</sup>-board registered program or hold one of the following
  - CPA
  - Chartered Financial Consultant (ChFC)
  - Charter Life Underwriter (CLU)
  - Chartered Financial Analyst (CFA)
  - Attorney's License
  - Doctor of Business Administration
  - Ph.D. in business or economics

**Examination Type:**

- CFP<sup>®</sup> Certification Examination

**Continuing Education/Experience Requirements:**

- 30 hours every 2 (two) years

**Website:** [www.cfp.com/become](http://www.cfp.com/become)

### CHARTERED FINANCIAL ANALYST – CFA<sup>®</sup>

**Issued by:** CFA<sup>®</sup> Institute

**Prerequisites/Experience required:**

Candidates must meet one of the following:

- Undergraduate degree and 4 years of professional experience involving investment decision making or
- 4 years qualified work experience (full time, but not necessarily investment related)

**Educational Requirements:**

- Study program (250 hours of study for each of the 3 levels)

**Examination Type:**

- 3 course examinations

**Continuing Education/Experience Requirements:**

- None

**Website:** [www.cfainstitute.org/cfaprogram/Pages/index.aspx](http://www.cfainstitute.org/cfaprogram/Pages/index.aspx)

### CERTIFIED PRIVATE WEALTH ADVISOR<sup>®</sup> – CPWA<sup>®</sup>

**Issued by:** Investments & Wealth Institute

**Prerequisites/Experience required:**

- At least five years of relevant financial services experience and a clean regulatory record

**Educational Requirements:**

- Complete executive education at a top 25 global business school

**Examination Type:**

- Five-hour examination

**Continuing Education/Experience Requirements:**

- Stay updated on industry trends, laws, and products with 40 hours of continuing education every two years, including two hours of ethics education

**Website:** [www.investmentsandwealth.org/CPWA](http://www.investmentsandwealth.org/CPWA)

## ACCREDITED WEALTH MANAGEMENT ADVISOR – AWMA®

**Issued by:** College for Financial Planning

**Prerequisites/Experience required:**

- None

**Educational Requirements:**

- Successfully complete the program

**Examination Type:**

- No exam required

**Continuing Education/Experience Requirements:**

- Accepted for continuing education hours for CIMA®, CIMC®, CPWA®, and CRP® designations.

**Website:** [www.cffpinfo.com/crpc.htm](http://www.cffpinfo.com/crpc.htm)

## ACCREDITED INVESTMENT FIDUCIARY – AIF®

**Issued by:** fi360®

**Prerequisites/Experience required:**

- 2 years relevant experience B.S. and a professional designation, or
- 5 years relevant experience B.S. or a professional designation, or
- 8 years relevant experience

**Educational Requirements:**

- AIF® Training (between 21 and 28 hours)
- AIF® Examination

**Examination Type:**

- Multiple choice

**Continuing Education/Experience Requirements:**

- 6 hours of CE per year

**Website:** [www.fi360.com](http://www.fi360.com)

## CERTIFIED WEALTH STRATEGIST® – CWS®

**Issued by:** Cannon Financial

**Prerequisites/Experience required:**

- Three years industry experience and a four-year degree from an accredited college or university OR
- Five years industry experience

**Educational Requirements:**

- Complete an approved study program
- Agree and sign the CWS® Professional Ethics and Code of Conduct Standards
- Pass the CWS® exam

**Examination Type:**

- Multiple choice

**Continuing Education/Experience Requirements:**

- 30 hours of continuing education every two years

**Website:** <https://certifiedwealthstrategist.com/>

## CHARTERED ALTERNATIVE INVESTMENT ANALYST ASSOCIATION – CAIA<sup>SM</sup>

**Issued by:** Chartered Alternative Investment Analyst Association®

**Prerequisites/Experience required:**

- None

**Educational Requirements:**

- Successfully complete the CAIA program

**Examination Type:**

- 2 Multiple-choice exams
  - Level I
  - Level II

**Continuing Education/Experience Requirements:**

- None

**Website:** [www.caia.org/](http://www.caia.org/)

## CERTIFIED PLAN FIDUCIARY ADVISOR – CPFA

**Issued by:** National Association of Plan Advisors (NAPA)

**Prerequisites/Experience required:**

- None

**Educational Requirements:**

- Completion of the Certified Plan Fiduciary Advisor (CPFA) examination

**Examination Type:**

- Final certification exam (proctored, closed book)

**Continuing Education/Experience Requirements:**

- 20 credits every two years

**Website:** [www.napacpfa.org](http://www.napacpfa.org)

## CERTIFIED TRUST AND FINANCIAL ADVISOR - CTFA

**Issued by:** American Bankers Association®

### Prerequisites/Experience/Educational requirements:

- 3 years' experience in wealth management and completion of an ICB-approved wealth management training program; or
- 5 years' experience in wealth management and a bachelor's degree; or
- 10 years' experience in wealth management

### Application:

- Complete application and adhere to ICB's Professional Code of Ethics

### Examination Type:

- Multiple-choice exam

### Continuing Education/Experience Requirements:

- Forty five (45) continuing education credits every
- three (3) years

**Website:** [www.aba.com](http://www.aba.com)

## CERTIFIED DIVORCE FINANCIAL ANALYST – CDFA

**Issued by:** The Institute for Divorce Financial Analysts (IDFA™)

### Prerequisites/Experience required:

- Bachelor's degree with three years of on-the job experience or,
- Five years of relevant experience

### Educational Requirements:

- Completion of the Certified Divorce Financial Analyst examination

### Examination Type:

- Multiple Choice

### Continuing Education/Experience Requirements:

- 30 hours of divorce-related continuing education every two years

**Website:** <https://institutedfa.com/>

## CHARTERED FINANCIAL CONSULTANT – ChFC®

**Issued by:** The American College of Financial Services

### Prerequisites/Experience required:

- Three years of relevant business experience and,
- High school diploma

### Educational Requirements:

- Completion of the eight required courses
- Agree to comply with The American College Code of Ethics and Procedures

### Examination Type:

- Multiple Choice

### Continuing Education/Experience Requirements:

- 30 hours of continuing education every two years and adhere to The American College Code of Ethics and Procedures.

**Website:** [theamericancollege.edu](http://theamericancollege.edu)

## PERSONAL FINANCIAL SPECIALIST – PFS

**Issued by:** The American Institute of Certified Public Accountants (AICPA)

### Prerequisites/Experience required:

- Be a member of the AICPA,
- Hold an unrevoked CPA certificate issued by a state authority, and
- Have at least 2 years of full-time teaching or business experience (or 3000 hours equivalent) in personal financial planning within the five-year period preceding the date of the CPA/PFS application

### Educational Requirements:

- Minimum of 75 hours of personal financial planning education within the five-year period preceding the date of the PFS application

### Examination Type:

- Final certification exam

### Continuing Education/Experience Requirements:

- 60 hours (or its equivalent) of continuing professional education every three years

**Website:** [www.aicpa.org](http://www.aicpa.org)