



Form ADV, Part 2B Brochure Supplement

SVB Wealth LLC

File No. 801-80480

**53 State Street, 28th Floor
Boston, Massachusetts 02109
617-223-0200**

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

December 18, 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 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.

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: 11 West 42nd Street
13 Floor
New York, NY 10036

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: 53 State Street
18TH Floor
Boston, MA 02109

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: 11 West 42nd Street
13 Floor
New York, NY 10036

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: 11 West 42nd Street
13 Floor
New York, NY 10036

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)

ECLBUSINESS 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: 53 State Street
18TH Floor
Boston, MA 02109

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: 11 West 42nd Street
13 Floor
New York, NY 10036

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:	8/2022 - Present SVB Wealth LLC, Head of Wealth Advisory West
(Past Five Years)	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 Francisco, 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

Christopher Guarino (CRD No: 5643768)

Branch Address: 11 West 42nd Street
13 Floor
New York, NY 10036

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:	4/2022 - Present SVB Wealth LLC, Director, Private Wealth Advisor
(Past Five Years)	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: 53 State Street
18TH Floor
Boston, MA 02109

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

Richard Jaffe (CRD No: 1207985)

Branch Address: 11 West 42nd Street
13 Floor
New York, NY 10036

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: (Past Five Years)	1/2021 - Present	SVB Wealth LLC, Head of Wealth Advisory Northeast
	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: 11 West 42nd Street
13 Floor
New York, NY 10036

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

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:	3/2021 - Present	SVB Wealth LLC, Managing Director, Portfolio Management	
(Past Five Years)	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: 11 West 42nd Street
13 Floor
New York, NY 10036

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: (Past Five Years)	2/2022 - Present	SVB Wealth LLC, VP II, Private Wealth Advisor
	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:	1/2021 - Present	SVB Wealth LLC, Investment Advisor Associate
(Past Five Years)	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 Financial Group 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: (Past Five Years)	3/2018 - Present	SVB Wealth LLC, Managing Director, Private Wealth Advisor	
	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

Peter Muscat (CRD No: 5347658)

Branch Address: 505 Howard Street
3rd Floor
San Francisco, 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 Francisco, 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: 11 West 42nd Street
13 Floor
New York, NY 10036

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: (Past Five Years)	2/2022 - Present	SVB Wealth LLC, Managing Director, Private Wealth Advisor
	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: 11 West 42nd Street
13 Floor
New York, NY 10036

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: (Past Five Years)	12/2022 - Present	SVB Wealth LLC, VP II, Private Wealth Advisor	
	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

Jeff Rhineheart is employed and compensated by First-Citizens Bank & Trust Company (FCB) and is an Investment Advisor of First Citizens Asset Management (FCAM) and SVB Wealth LLC (SVBW), a registered representative of First Citizens Investor Services, Inc. (FCIS), and a licensed insurance agent with certain states. The sale of securities, brokerage-related products, and/or insurance may be offered within these capacities. He is compensated by FCB for selling its products and services, and FCAM & SVBW will charge advisory fees for assets under management, a portion of which will be paid or credited to him. Each product provides different compensation structures for the Advisor, which may present a conflict of interest; however, FCIS and SVBW have implemented a strict Code of Ethics outlining the fiduciary duties of an Investment Advisor.

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: 11 West 42nd Street
13 Floor
New York, NY 10036

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

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

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: (Past Five Years)	10/2014 - Present	SVB Wealth LLC, VP I, PBWM Portfolio Management
	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: 53 State Street
28th Floor
Boston MA 02109

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: (Past Five Years)	9/2021 - Present SVB Wealth LLC, Managing Director, Private Wealth Advisor 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: 11 West 42nd Street
13 Floor
New York, NY 10036

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: 11 West 42nd Street
13 Floor
New York, NY 10036

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 ANALYSTSM – CIMA[®]

Issued by: Investments & Wealth Institute

Prerequisites/Experience required:

- Submit CIMA[®] 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

CERTIFIED FINANCIAL PLANNER – CFP[®]

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[®]-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[®] Certification Examination

Continuing Education/Experience Requirements:

- 30 hours every 2 (two) years

Website: www.cfp.com/become

CHARTERED FINANCIAL ANALYST – CFA[®]

Issued by: CFA[®] 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

CERTIFIED PRIVATE WEALTH ADVISOR[®] – CPWA[®]

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

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

CHARTERED ALTERNATIVE INVESTMENT ANALYST ASSOCIATION – CAIASM

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/

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

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

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/>

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**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**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