

**The Weil Company  
dba Christopher Weil & Company, Inc.**

Form ADV Part 2  
Investment Adviser Brochure

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November 30, 2022

This brochure provides information about the qualifications and business practices of Christopher Weil & Company, Inc. (WEIL). If you have any questions about the contents of this brochure, please contact us at 800-355-9345 or [lsword@cweil.com](mailto:lsword@cweil.com). The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority. Registration does not imply a level of skill or training.

Additional information about Christopher Weil & Company, Inc. is also available on the SEC website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You can search this site by a unique identifying number, known as a CRD number. Our firm's CRD number is 22090, or link directly to <https://www.adviserinfo.sec.gov/Firm/22090>.

## **Item 2 Material Changes**

Since the date of our last Form ADV Brochure dated September 30, 2021 we have made the following material changes to this brochure:

- We have added Estate Preparation and Transition Services to the Advisory Services that we provide (see Item 4 “Advisory Services”)
- We have updated the amount of our assets under management (See Item 4 “Advisory Services – Assets Under Management”)
- We have added a Tiered Fee Schedule to the way that we calculate and charge fees for our services (See Item 5 “Fees and Compensation”)

Consistent with the rules, we are to ensure that you receive a summary of any material changes to this and subsequent Brochures within 120 days of the close of our business fiscal year. Furthermore, we will provide you with other interim disclosures about material changes as necessary.

#### Item 4 Advisory Business

The Weil Company dba Christopher Weil & Company, Inc. (WEIL) is a SEC-registered investment adviser with its principal place of business located in San Diego, California. WEIL began conducting business in 1989.

Listed below are the firm's principal shareholders (i.e., those individuals and/or entities controlling 25% or more of this company).

Matthew Weil

Kit-Victoria Wells

Caitlin Weil

Christopher Weil & Company, Inc. offers the following advisory services to our clients:

##### Financial Advisory Services

Our firm provides continuous advice to a client regarding the investment of client funds based on the individual needs of the client. This service can be provided on a standalone basis or in conjunction with our Investment Management Services for an additional fee. Through personal discussions in which goals and objectives based on a client's particular circumstances are established, we develop a client's personal investment policy and create and manage a portfolio based on that policy. We manage advisory accounts on a discretionary basis. Account supervision is guided by the client's stated objectives (i.e., maximized capital appreciation, growth, income, or growth and income), as well as tax and other personalized considerations.

During our data-gathering process, we determine the client's individual objectives, time horizons, risk tolerance, and liquidity needs. As appropriate, we also review and discuss a client's prior investment history, as well as family composition and background. We continue to monitor your circumstances by having discussions with you at least annually and by making adjustments as needed based on your objectives and goals. There is a minimum fee for Advisory (noted in the next section.)

##### Investment Management Services

We provide continuous investment management services to a client using portfolio strategies that are designed to meet a client's particular investment goals. We exercise discretion in client accounts to make the necessary purchases and sales to keep portfolios in line with those goals. We do not require clients to maintain certain minimum size accounts with us, but we do charge minimum fees to clients (noted in the next section.)

Our Portfolios include globally diversified, concentrated, ESG, as well as opportunistic strategies utilizing hedging, non-correlated and sector based portfolios. For high-value investment accounts, we may also use individual stock and bond portfolios. Our investment recommendations are not limited to any specific product or service offered by a broker-dealer or insurance company and will generally include advice regarding the following securities:

Mutual fund shares (including fund(s) managed by WEIL)  
Exchange Listed Securities  
Corporate debt securities  
Certificates of deposit  
United States governmental securities  
Options contracts on securities  
Commercial paper  
Securities traded over-the-counter

Interests in partnerships/limited liability companies  
investing in real estate and/or venture capital  
(including ones managed by WEIL)  
Variable life insurance  
Variable annuities  
Municipal securities  
Foreign Issuers  
Warrants

Our services provide clients with the ability to custody assets, manage cash and receive general financial advice from WEIL all in one convenient relationship. On a limited basis to self-direct trades for high-value investment accounts.

- cash management, on a discretionary basis, of all cash and cash equivalents in the account (including Treasury instruments, certificates of deposit, money market funds and cash balances);
- consolidated quarterly performance reporting of account assets;
- prime brokerage services;
- referrals for targeted client needs to specialized service-providers (such as CPAs, attorneys, estate planners, trust services providers, family office services and accountant/ bookkeepers);
- proxy voting services for assets held in the account;
- class action lawsuit-filing and coordination on client's behalf;
- on-line account access; and
- automated processing of periodic distributions.

Because some types of investments involve certain additional degrees of risk, they will only be recommended and/or implemented when consistent with the client's stated investment objectives, tolerance for risk, liquidity and suitability.

Through personal discussions with the client in which the client's goals and objectives are established, we determine if the portfolio strategy is suitable to the client's circumstances. Once we determine the suitability of the portfolio, the portfolio is managed based on the portfolio's goal, rather than on each client's individual needs. Clients retain individual ownership of all securities.

To ensure that our initial determination of an appropriate portfolio remains suitable and that the account continues to be managed in a manner consistent with the client's financial circumstances, we will:

- at least annually (but generally more often), contact each participating client to determine whether there have been any changes in the client's financial situation or investment objectives, and whether the client wishes to impose investment restrictions or modify existing restrictions;
- be reasonably available to consult with the client; and
- maintain client suitability information in each client's file.

### **Mutual Fund Portfolio Management**

Our firm provides discretionary portfolio management services to one mutual fund registered under the Investment Company Act of 1940 using a strategy driven asset allocation portfolio.

WEIL provides this service to Christopher Weil & Company Core Investment Fund (CWCFFX)

WEIL serves as the investment manager to CWCFFX, and continuously manages the fund assets based on the investment goals and objectives as outlined in the Mutual Fund's prospectus.

Interested investors should refer to the CWCFFX's prospectus and Statement of Additional Information ("SAI") for important information regarding objectives, investments, time-horizon, risks, fees, and additional disclosures. These documents are available on-line at [www.cweil.com](http://www.cweil.com).

Prior to making any investment in the CWCFFX, investors and prospective investors should carefully review these documents for a comprehensive understanding of the terms and conditions applicable for investment in the CWCFFX.

## **Financial Planning**

Our firm provides financial planning services. Financial planning is a comprehensive evaluation of a client's current and future financial state by using currently known variables to predict future cash flows, asset values and withdrawal plans. Through the financial planning process, all questions, information and analysis are considered as they impact and are impacted by the entire financial and life situation of the client. Clients purchasing this service receive a written report which provides the client with a detailed financial plan designed to assist the client in achieving his or her financial goals and objectives.

In general, the financial plan can address any or all of the following areas:

### *Personal*

We review family records, budgeting, personal liability, estate information and financial goals.

### *Tax and Cash Flow*

We analyze the client's income tax and spending and planning for past, current and future years; then illustrate the impact of various investments on the client's current income tax and future tax liability.

### *Investments*

We analyze investment alternatives and their effect on the client's portfolio.

### *Insurance*

We review existing policies to ensure proper coverage for life, health, disability, long-term care, and general liability.

### *Retirement*

We analyze current strategies and investment plans to help the client achieve his or her retirement goals.

### *Death and Disability*

We review the client's cash needs at death, income needs of surviving dependents, estate planning and disability income.

### *Estate*

We assist the client in assessing and developing long-term strategies, including as appropriate, living trusts, wills, and other asset protection plans. We review estate tax matters, powers of attorney, asset protection plans, nursing homes, Medicaid and elder law matters.

We gather required information through in-depth personal interviews. Information gathered includes the client's current financial status, tax status, future goals, returns objectives and attitudes towards risk. We carefully review documents supplied by the client, including a questionnaire completed by or with the client, and prepare a written report. Should the client choose to implement the recommendations contained in the plan, we suggest the client work closely with his/her attorney, accountant, insurance agent, and/or stockbroker. Implementation of financial plan recommendations is entirely at the client's discretion.

We also provide general non-securities advice on topics that may include budgetary planning, estate planning and business planning.

Financial Planning recommendations are not limited to any specific product or service offered by a broker-dealer or insurance company. All recommendations are of a generic nature.

## **Estate Preparation and Transition**

We offer preparation and transition services pertaining to Client's entire financial life. We gather information, and where appropriate copies of documentation, as to a clients assets, liabilities, cash flow, all forms of insurance, estate plan, monthly expenses, heirs, family members, trusted contacts, trusted vendors, and other miscellaneous information. We may also include discussing with a Client their wishes and intentions as to our involvement in the transitioning of their estate when such time arrives. This information is stored in systems that manage and maintain data. Clients are offered at least one meeting a year to review and update the gathered information. With this information in place we provide advice and assistance to successor trustee(s), executor(s), other key vendors, family, and/or heirs, as instructed by the Client.

These services can include us working with Client's successor trustee or executor to ensure that Assets are retitled and/or transferred in accordance with the provisions of Client's trust and/or will. We work with Client's successor trustee or executor in transitioning assets of Client's estate, regardless of where they are custodied. This could include but may not be limited to private investments, accounts held through employers, investments held on mutual fund platforms, residential real estate, commercial real estate, rental properties, business ownership, and other personal property. The fee for this service begins at the estate trigger event which may be, but is not limited to, incapacity, disability, or death.

## **Pension Consulting Services**

We also provide several pension consulting services separately or in combination. While the primary clients for these services will be pension, profit sharing and 401(k) plans, we offer these services, where appropriate, to individuals and trusts, estates and charitable organizations. Pension Consulting Services are comprised of four distinct services. Clients may choose to use any or all of these services.

### *Investment Policy Statement Preparation (hereinafter referred to as "IPS")*

We will meet with the client (in person or over the telephone) to determine an appropriate investment strategy that reflects the plan sponsor's stated investment objectives for management of the overall plan. Our firm then prepares a written IPS detailing those needs and goals, including an encompassing policy under which these goals are to be achieved. The IPS also lists the criteria for selection of investment vehicles as well as the procedures and timing interval for monitoring of investment performance.

### *Selection of Investment Vehicles*

We assist plan sponsors in constructing appropriate asset allocation models. We will then review various mutual funds (both index and managed) to determine which investments are appropriate to implement the client's IPS. The number of investments to be recommended will be determined by the client, based on the IPS.

### *Monitoring of Investment Performance*

We monitor client investments continually, based on the procedures and timing intervals delineated in the Investment Policy Statement. Although our firm is not involved in any way in the purchase or sale of these investments, we supervise the client's portfolio and will make recommendations to the client as market factors and the client's needs dictate.

### *Employee Communications*

For pension, profit sharing and 401(k) plan clients with individual plan participants exercising control over assets in their own account ("self-directed plans"), we may also provide quarterly educational support and investment workshops designed for the plan participants. The nature of the topics to be covered will be determined by us and the client under the guidelines established in ERISA Section 404(c). The educational support and investment workshops will NOT provide plan participants with individualized, tailored

investment advice or individualized, tailored asset allocation recommendations.

### **Wrap Fee Programs**

Our firm does not sponsor any Wrap Fee Programs.

### **Amount of Managed Assets**

As of 11/30/2022 we actively managed approximately \$1,063,473,753 in discretionary assets under management in the Advisory, Investment Management Services, Proprietary Mutual Fund, and/or Private Asset programs. We additionally manage approximately \$3,798,973 on a non-discretionary basis.

## **Item 5 Fees and Compensation**

### **Advisory and Management Fees**

Our firm believes that WEIL has adopted a fee structure that is sound, equitable and accurately reflects our relationship with our clients.

Clients are charged the greater of the minimum annual fee or the calculated fee for both advisory services and investment management services. The initial fee is charged on the last business day of the quarter in which assets are transferred (opening Date) to the client account, and are based on the net equity value on that date. The period which such payment covers will run from Opening Date through the last Brokerage Firm statement date of the current calendar quarter.. Thereafter, the quarterly fee will be based on the net equity value on the last Brokerage Firm statement date of each calendar quarter and will be due and payable on the first day of each quarter or when billed, whichever is later. Where an end of quarter statement is not available from the Brokerage Firm, we will use our best efforts to determine an account's net equity value for billing purposes. Should a net debit balance exist in the account (generally due to the existence of margin balances) then the fee shall be based on the total value of securities (the gross account assets before margin balances are deducted) rather than the net equity. The quarterly fee is paid in advance. Intra-period adjustments are not made for withdrawals from or deposits to Assets and/or Account(s), nor are adjustments made for fluctuations in value during a billing period. To the extent necessary, WEIL is authorized to sell securities or use margin in Account(s) to satisfy any fees due to WEIL. WEIL directs the custodian to deduct fees directly from the account. By default, WEIL deducts fees from the account to which the service is attached.

Our current fee structure is a Tiered Fee Schedule as follows:

Annual Fee	\$8,000
\$0 - \$800,000	Included with Annual Fee
\$800,001 - \$2,000,000	.85%
\$2,000,001 - \$5,000,000	.75%
\$5,000,001 - \$10,000,000	.25%
\$10,000,001 and up	.05%

Formerly, our fee structure included standard fees for relationship management (RMA) services at 25 basis points (0.25%) and 75 basis points (0.75%) for the asset management (MAP) services (asset management).

Client were therefore generally charged an annual combined fee of 100 basis points (1.0%) based upon the net equity value of the total investments managed by WEIL, including cash, with no deduction of margin balances. Under the MAP/RMA fee structure, WEIL also imposed a minimum fee of \$8,000 per year. The minimum fee may be waived in certain circumstances.

Fees include advisory and investment management services by WEIL, but exclude applicable commissions and brokerage fees charged by others such as the account custodian. Certain investments undertaken with respect to the account, such as mutual funds and unit investment trusts, may be subject to additional management fees which are payable to the investments sponsors. These fees are not included in the advisory fees the client pays to WEIL.

WEIL may recommend, when appropriate, its own proprietary Mutual Fund(s) to clients. This may cause the clients to pay our advisory fee in addition to the fee imbedded in Mutual Fund(s). WEIL in its sole discretion generally waives its fees on client assets invested in WEIL's Mutual Fund(s).

We will send clients a quarterly invoice for fees due. Fees will be debited from the account in accordance with the client authorization in the Agreement(s) unless arrangements have been made for payment via invoice.

#### **Pension Consulting Services Fees**

Our fees for Pension Consulting Services are based on a percentage of assets under advisement, according to the MAP and RMA fee schedules above.

In certain arrangements the Client or Plan sponsor may utilize third party platforms that negotiate their own fee schedule and compensate WEIL as the adviser to such plans. In these instances WEIL's advisory fees are included in the arrangement and are generally paid out of platform's fees directly to WEIL.

WEIL does not add any additional fees on top of the third party platform fee and the client or plan sponsor does not pay higher fees in such arrangements.

In addition, in some Pension Consulting arrangements with clients or plan sponsors, WEIL may charge hourly fees for certain negotiated or specific services pursuant to the respective advisory agreement

#### **Limited Negotiability of Advisory Fees**

Although WEIL has established the aforementioned fee schedule(s), we retain the discretion to negotiate alternative fees upward or downward on a client-by-client basis. Client facts, circumstances and needs are considered in determining the fee schedule. These include the complexity of the client, assets to be placed under management, anticipated future additional asset; related account; portfolio style, account composition and reports, among other factors. The specific annual fee schedule is identified in the contract between the adviser and each client.

We may group certain related client accounts including immediate family member accounts in order to obtain a reduced fee, as well as qualified plan accounts where the client is the sole or primary beneficiary. In certain circumstances these fees may be negotiated to rates higher or lower than the stated fee schedule. Any negotiated fee will be documented in writing as part of the Managed Asset Portfolio Agreement.

Discounts, not generally available to our advisory clients, may be offered to family members and friends of associated persons of our firm.

Generally, fees are payable quarterly in advance based on one quarter of the annual rate based on the asset



value at the beginning of the quarter. Typically, WEIL will withdraw its fees from client's account(s) and provide the client with a calculation of the fee before or at the time of withdrawal. If the client requests to be billed directly, an invoice will be provided and a \$25 billing fee may be added to the billed amount. Such billings are due within 10 days of the date of the invoice. WEIL reserves the right to deduct the fees from the account(s) if the fees remain unpaid for 30 days or more. WEIL may liquidate securities or cause an account to borrow funds under a margin agreement between the client and the clearing broker to pay WEIL'S fee. The client authorizes the Custodian Broker, upon presentation of a bill from WEIL, to withdraw WEIL'S fee and forward the funds to WEIL.

Certain investments for may be subject to additional management fees, such as mutual funds or unit investment trusts, which are payable to the investments sponsors. These fees are not included in the fee that clients pay to WEIL nor do any of the fees accrue to WEIL, but are reflected in the results of operations of such investments. In addition, in order to transact trades for the securities bought and/or sold in accordance with the management relationship between the client and WEIL, the client must select a broker dealer (a Brokerage Firm) for their account. The client may pay costs to the Brokerage Firm, including but not limited to execution costs, exchange fees, custody fees and/or brokerage commissions. WEIL has established a relationship with Fidelity Investments for clients and clients may choose to custody the assets managed by WEIL there. Alternatively, WEIL will work with clients to select another Brokerage Firm that best fits the needs of the client. When possible, WEIL may aggregate certain transactions for the account with transactions in the same security done on behalf of some of WEIL's other clients on the same day. WEIL'S order aggregation practices are described in this Brochure.

WEIL may select brokers or dealers (Brokerage Firm) which provide it with research or other transaction related services and such research and other services may be used for its own and/or other client accounts, to the extent permitted by law. As a result, clients may pay a commission on transactions in excess of or below the amount of commission another Brokerage Firm would have charged. WEIL shall not be liable to clients for any act, conduct or omission of any Brokerage Firm.

Clients will receive confirmation at the time of purchase or sale for all transactions effected in their accounts directly from the custodian. Clients will also receive monthly account statements and annual account summaries from the Brokerage Firm. The client will also receive a quarterly billing statement from WEIL.

### **Other Fee Programs**

WEIL may enter into agreements with other unaffiliated brokerage and/or financial service firms to provide investment management services to managed accounts in their fee programs.

The investment management services WEIL may provide to other unaffiliated brokerage firms managed accounts differs from services provided to WEIL MAP accounts in that WEIL provides a much higher degree of individualized attention to its WEIL accounts.

### **Termination/Refunds**

Agreements will continue in effect until terminated in writing by either the Client or us. Upon receipt of termination notice, termination of the Agreement is effective the last day of the quarter in which notice is made. Any fees charged for the quarter in which AIM Agreement is terminated will be refunded in full, with no prorations. Upon receipt of notice of termination, all discretionary trading of the Account(s) will cease unless WEIL is directed to liquidate Account(s) or sell certain securities held in Account(s). If WEIL is directed to liquidate or to sell certain securities in the Account(s), WEIL will liquidate or sell the named securities as soon as possible. If Client is a natural person, the death, disability or incompetency of Client will not terminate or change the terms of the Agreement. However, Client's executor, guardian, attorney-in-fact

or other authorized representative may terminate Agreement by giving written notice to WEIL.

### **Performance-Based Fees**

WEIL does not generally enter into performance based fees arrangements with advisory clients. However, one or more of WEIL's affiliates may receive a performance based allocation of carried interest tied to the management of WEIL affiliated private equity funds. This means that WEIL may indirectly earn carried interests through its affiliated entities and funds. The management fees and performance-based carried interest associated with each affiliated private fund is set forth in the respective fund's governing documents.

WEIL will disclose to the client before entering into this type of arrangement any details of such arrangements. *See Item 6 below for additional disclosures related to performance-based fees and side-by-side management of client accounts.*

***Performance-based fees will only be charged in accordance with the provisions of Section 205-3 of the Investment Advisers Act of 1940 and/or applicable state regulations. The fees will not be offered to any client residing in a state in which such fees are prohibited.***

### **Mutual Fund Portfolio Management (Mutual Fund)**

WEIL charges an asset-based fee for this service. The fee arrangement, termination, and refund policies are described in the Mutual Fund's Prospectus and Statement of Additional Information ("SAI").

## **GENERAL INFORMATION**

### **Financial Planning Fees**

WEIL's Financial Planning fee is determined based on the nature of the services being provided and the complexity of each client's circumstances. All fees are agreed upon prior to entering into a contract with any client.

Our Financial Planning fees are calculated and charged on a fixed fee basis, typically ranging from \$250 to \$10,000, depending on the specific arrangement reached with the client.

We may request a retainer upon completion of our initial fact-finding session with the client, however, advance payment will never exceed \$1,200 for work that will not be completed within six months. The balance is due upon completion of the plan.

### **Financial Planning Fee Offset**

WEIL reserves the discretion to reduce or waive the fee if a financial planning client chooses to engage us for our MAP and/or RMA services.

### **Commission Compensation**

WEIL is not currently dually registered as a broker-dealer and therefore does not maintain any clearing arrangements and does not conduct any commission based broker business. If in the future WEIL were to engage in this business activity, management personnel and certain employees of our firm may become licensed as registered representatives of the broker-dealer.

This would present a conflict of interest to the extent that these individuals recommend that a client invest in a security which results in a commission being paid to WEIL and/or the individuals. Clients would not be not under any obligation to engage these individuals when considering implementation of advisory recommendations. The implementation of any or all recommendations is solely at the discretion of the client.

### **Insurance Commission Compensation**

WEIL is a licensed Insurance Broker. Certain management personnel and/or employees who are properly licensed may also sell insurance. As such, these individuals are able to receive separate, yet customary compensation (i.e. commissions or fees), resulting from implementing product transactions on behalf of advisory clients. All such compensation is assigned to WEIL. These commissions can range from less than 55% to more than 100% of the first year premium. Employees receive no personal benefit from such insurance compensation apart from their salary as an employee of WEIL. Clients, however, are not under any obligation to engage these individuals when considering implementation of advisory recommendations. The implementation of any or all of these or other recommendations is solely at the discretion of the client.

While WEIL and its employees endeavor at all times to put the interest of the clients first as part of our fiduciary duty, clients should be aware that the receipt of additional compensation itself creates a conflict of interest, and may affect the judgment of these individuals when making recommendations.

Notwithstanding the above, advisory fees will always be offset for commissions earned on securities transactions executed in pension, profit-sharing, 401(k), IRA or other client accounts where to do otherwise would constitute a prohibited transaction under the provisions of ERISA or the Internal Revenue Code.

### **Mutual Fund Fees**

All fees paid to WEIL for investment advisory services are separate and distinct from the fees and expenses charged by mutual funds and/or ETFs to their shareholders. These fees and expenses are described in each fund's prospectus. These fees will generally include a management fee, other fund expenses, and a possible distribution fee. If the fund also imposes sales charges, a client may pay an initial or deferred sales charge. A client could invest in a mutual fund directly, without our services. In that case, the client would not receive the services provided by our firm which are designed, among other things, to assist the client in determining which mutual fund or funds are most appropriate to each client's financial condition and objectives. Accordingly, the client should review both the fees charged by the funds and our fees to fully understand the total amount of fees to be paid by the client and to thereby evaluate the advisory services being provided.

### **Additional Fees and Expenses**

In addition to our advisory fees, clients are also responsible for the fees and expenses charged by custodians and imposed by broker dealers, including, but not limited to, any transaction charges imposed by a broker dealer with which an independent investment manager effects transactions for the client's account(s). Please refer to the "Brokerage Practices" section (Item 12) of this Form ADV for additional information.

### **Advisory Fees in General**

Clients should note that similar advisory services may (or may not) be available from other registered (or unregistered) investment advisers for similar or lower fees.

### **Limited Prepayment of Fees**

Under no circumstances do we require or solicit payment of fees in excess of \$1,200 more than six months in advance of services rendered.

### **ERISA Accounts**

WEIL is deemed to be a fiduciary to advisory clients that are employee benefit plans or individual retirement accounts (IRAs) pursuant to the Employee Retirement Income and Securities Act ("ERISA"). As such, our firm is subject to specific duties and obligations under ERISA, the Department of Labor and Internal Revenue Code that include among other things, restrictions concerning certain forms of compensation. To avoid engaging in prohibited transactions, WEIL may only charge fees for investment advice about products for which our firm and/or our related persons do not receive any commissions or 12b-1 fees, or conversely,

investment advice about products for which our firm and/or our related persons receive commissions or 12b-1 fees, however, only when such fees are used to offset WEIL advisory fees.

## **Item 6 Performance-Based Fees and Side-By-Side Management**

### **Performance-Based Fees**

As disclosed in Item 5 of this Brochure, WEIL's affiliates may receive performance-based fees in the form of Carried Interest from certain private equity funds. With private equity funds in general, the manager will receive carried interest only after the fund first returns all capital contributed by the investors, and, in certain cases, the fund must also return a previously agreed upon rate of return (the hurdle rate) to investors. Each private fund that has a carried interest provision will be detailed in their respective organizational documents.

Clients should be aware that performance-based fee arrangements may create an incentive for WEIL to recommend investments which may be riskier or more speculative than those which would be recommended under a different fee arrangement. This arrangement may cause investors to pay a greater expense than if such fees were not charged. Additionally carried interest arrangements may differ among Clients, creating an incentive to direct investment opportunities to Clients that pay or allocate a higher Carried Interest.

WEIL seeks to address such conflicts in a fair and equitable basis in its good faith discretion and has established policies and procedures to address the potential conflicts of interest described above through careful review of investment opportunities. WEIL will allocate investment opportunities in accordance with the investment guidelines of each client or fund as appropriate.

## **Item 7 Types of Clients**

WEIL provides advisory services to the following types of clients:

- Individuals (other than high net worth individuals);
- High net worth individuals;
- Pension and profit sharing plans (other than plan participants);
- Registered Investment Companies (e.g. mutual funds);
- Other pooled investment vehicles (e.g., investment LLCs and hedge funds);
- Charitable organizations; and
- Corporations or other businesses not listed above.

WEIL does not generally impose a minimum account size for our advisory services, but does generally impose a minimum fee of \$8,000 per year.

## **Item 8 Methods of Analysis, Investment Strategies and Risk of Loss**

### **METHODS OF ANALYSIS**

We use the following methods of analysis in formulating our investment advice and/or managing client assets:

***Fundamental Analysis*** We attempt to measure the intrinsic value of a security by looking at economic and financial factors (including the overall economy, industry conditions, and the financial condition and management of the company itself) to determine if the company is underpriced (indicating it may be a good

time to buy) or overpriced (indicating it may be time to sell).

Fundamental analysis does not attempt to anticipate market movements. This presents a potential risk, as the price of a security can move up or down along with the overall market regardless of the economic and financial factors considered in evaluating the stock.

***Cyclical Analysis*** In this type of technical analysis, we measure the movements of a particular stock against the overall market in an attempt to predict the price movement of the security.

***Qualitative Analysis*** We subjectively evaluate non-quantifiable factors such as quality of management, labor relations, and strength of research and development factors not readily subject to measurement, and predict changes to share price based on that data.

A risk in using qualitative analysis is that our subjective judgment may prove incorrect.

***Quantitative Analysis*** We use mathematical models in an attempt to obtain more accurate measurements of a company's quantifiable data, such as the value of a share price or earnings per share, and predict changes to that data.

A risk in using quantitative analysis is that the models used may be based on assumptions that prove to be incorrect.

***Technical Analysis*** We analyze past market movements and apply that analysis to the present in an attempt to recognize recurring patterns of investor behavior and potentially predict future price movement.

Technical analysis does not consider the underlying financial condition of a company. This presents a risk in that a poorly-managed or financially unsound company may underperform regardless of market movement.

***Charting*** In this type of technical analysis, we review charts of market and security activity in an attempt to identify when the market is moving up or down and to predict how long the trend may last and when that trend might reverse.

***Asset Allocation*** Rather than focusing primarily on securities selection, we attempt to identify an appropriate ratio of equities, fixed income, and cash suitable to the client's investment goals and risk tolerance.

A risk of asset allocation is that the client may not participate in sharp increases in a particular security, industry or market sector. Another risk is that the ratio of equities, fixed income, and cash will change over time due to stock and market movements and, if not corrected, will no longer be appropriate for the client's goals.

***Mutual Fund and/or ETF Analysis*** We look at the experience and track record of the manager of the mutual fund or ETF in an attempt to determine if that manager has demonstrated an ability to invest over a period of time and in different economic conditions. We also look at the underlying assets in a mutual fund or ETF in an attempt to determine if there is significant overlap in the underlying investments held in another fund(s) in the client's portfolio. We also monitor the funds or ETFs in an attempt to determine if they are continuing to follow their stated investment strategy.

A risk of mutual fund and/or ETF analysis is that, as in all securities investments, past performance does not guarantee future results. A manager who has been successful may not be able to replicate that success in the

future. In addition, as we do not control the underlying investments in a fund or ETF, managers of different funds held by the client may purchase the same security, increasing the risk to the client if that security were to fall in value. There is also a risk that a manager may deviate from the stated investment mandate or strategy of the fund or ETF, which could make the holding(s) less suitable for the client's portfolio.

***Internally Prepared Research*** WEIL will also use internally prepared research as a method of analysis and investment strategy.

***Risks for All Forms of Analysis*** Our securities analysis methods rely on the assumption that the companies whose securities we purchase and sell, the rating agencies that review these securities, and other publicly-available sources of information about these securities, are providing accurate and unbiased data. While we are alert to indications that data may be incorrect, there is always a risk that our analysis may be compromised by inaccurate or misleading information.

## ***INVESTMENT STRATEGIES***

We use the following strategy(ies) in managing client accounts, provided that such strategy(ies) are appropriate to the needs of the client and consistent with the client's investment objectives, risk tolerance, and time horizons, among other considerations:

***Long-term purchases*** We purchase securities with the idea of holding them in the client's account for a year or longer. Typically, we employ this strategy when we believe the securities to be currently undervalued, and/or we want exposure to a particular asset class over time, regardless of the current projection for this class.

A risk in a long-term purchase strategy is that by holding the security for this length of time, we may not take advantage of short-term gains that could be profitable to a client. Moreover, if our predictions are incorrect, a security may decline sharply in value before we make the decision to sell.

***Short-term purchases*** When utilizing this strategy, we purchase securities with the idea of selling them within a relatively short time (typically a year or less). We do this in an attempt to take advantage of conditions that we believe will soon result in a price swing in the securities we purchase.

A short-term purchase strategy poses risks should the anticipated price swing not materialize; we are then left with the option of having a long-term investment in a security that was designed to be a short-term purchase, or potentially taking a loss.

In addition, this strategy involves more frequent trading than does a longer-term strategy, and will result in increased brokerage and other transaction-related costs, as well as less favorable tax treatment of short-term capital gains.

***Trading*** We purchase securities with the idea of selling them very quickly (typically within 30 days or less). We do this in an attempt to take advantage of our predictions of brief price swing.

***Short sales*** We borrow shares of a stock for your portfolio from someone who owns the stock on a promise to replace the shares on a future date at a certain price. Those borrowed shares are then sold. On the agreed-upon future date, we buy the same stock and return the shares to the original owner. We engage in short selling based on our determination that the stock will go down in price after we have borrowed the shares. If

we are correct and the stock price has gone down since the shares were purchased from the original owner, the client account realizes the profit.

**Margin transactions** We will purchase stocks for your portfolio with money borrowed from your brokerage account. This allows you to purchase more stock than you would be able to with your available cash, and allows us to purchase stock without selling other holdings.

**Option writing** We may use options as an investment strategy. An option is a contract that gives the buyer the right, but not the obligation, to buy or sell an asset (such as a share of stock) at a specific price on or before a certain date. An option, just like a stock or bond, is a security. An option is also a derivative, because it derives its value from an underlying asset. The two types of options are calls and puts:

A *call* gives us the right to buy an asset at a certain price within a specific period of time. We will buy a call if we have determined that the stock will increase substantially before the option expires.

A *put* gives us the right to sell an asset at a certain price within a specific period of time. We will buy a put if we have determined that the price of the stock will fall before the option expires.

We will use options to speculate on the possibility of a sharp price swing. We will also use options to "hedge" a purchase of the underlying security; in other words, we will use an option purchase to limit the potential upside and downside of a security we have purchased for your portfolio.

We use "covered calls", in which we sell an option on a security or securities that you own. In this strategy, you receive a fee for making the option available, and the person purchasing the option has the right to buy the security from you at an agreed-upon price.

We use a "spreading strategy", in which we purchase two or more option contracts (for example, a call option that you buy and a call option that you sell) for the same underlying security. This effectively puts you on both sides of the market, but with the ability to vary price, time and other factors.

**Risk of Loss** Securities investments are not guaranteed and you may lose money on your investments. We ask that you work with us to help us understand your tolerance for risk.

## **Item 9 Disciplinary Information**

We are required to disclose any legal or disciplinary events that are material to a client's or prospective client's evaluation of our advisory business or the integrity of our management.

Our firm and our management personnel have no reportable disciplinary events to disclose.

## **Item 10 Other Financial Industry Activities and Affiliations**

### **Firm Registrations and Activities and Affiliations**

#### **Firm Registrations and Activities**

WEIL is not currently, but was formerly registered as a FINRA Broker-Dealer.

#### **Firm Affiliations**

WEIL is under common control with the following other financial institutions:

- Storage Managers, Inc. (SMI)
- CWC Asset Advisors, Inc. (CWCAA)

### **Private Fund Affiliations**

The following partnerships, limited liability companies and/or private funds are controlled by one or more of WEIL'S Related Companies:

- Auburn Watt Storage Partners, Ltd.
- CWC Casa del Zorro, LLC
- CWC HealthTech Fund 1 LLC
- CWC Income Properties 2, LLC
- CWC Income Properties 3, LLC
- CWC Income Properties 5, LLC
- CWC Income Properties 6, LLC
- CWC Nexus Fund 1, LLC
- Hayward Storage Partners II, Ltd.
- High Street Partners, Ltd.
- Redwood City Storage Partners, Ltd.
- Walnut Storage Partners, Ltd.
- Westminster Associates, Ltd.

### ***Management Personnel Registrations, Activities and Affiliations***

**Management Personnel Registrations** Management personnel of our firm were formerly, but are no longer licensed as registered representatives of a Broker-Dealer.

**Management Personnel Activities and Affiliations** Christopher Weil (Chris) is also the president and major stockholder of Storage Managers, Inc., (SMI) a real estate and asset management company. Chris, through SMI or predecessor companies, has been in the real estate investment business since 1971. Chris is also the sole stockholder of CWC Asset Advisors, Inc. (CWCAA) which sponsors and is a managing member of private equity investments. Mr. Weil serves as Chairman of CWCAA. Additionally, John Wells (John) serves as the President, Laura Sword (Laura) serves as the Chief Financial Officer, Robert Gaan (Robert) serves as the Vice President and Matthew Weil (Matt) serves as General Counsel of CWCAA.

WEIL employees, through its affiliates CWCAA and SMI, provide time and services to, and/or act as the managing member of various limited liability companies and the general partner of various limited partnerships. Consequently, the attention of key officers and employees, including members of the WEIL investment committee, must be allocated among several business lines and it is possible that such multiple activities could have an adverse impact on the client.

While WEIL and these individuals endeavor at all times to put the interest of the clients first as part of our fiduciary duty, clients should be aware that the receipt of additional compensation to WEIL itself creates a conflict of interest, and may affect the judgment of these individuals when making recommendations.

Certain management personnel of WEIL, in their separate capacities are licensed as insurance brokers or agents. Specifically, Robert and Tyler Hewes (Tyler), are licensed as life insurance agents. As such, they can earn separate compensation for the sale for life insurance related products recommended to WEIL advisory clients. Mr. Robert and Tyler are permitted to offer insurance products to WEIL clients to provide a more comprehensive financial planning services to clients. As agents, they are entitled to commissions on the sale of insurance products. 100% of these commissions are assigned to WEIL. Robert and Tyler receive no personal benefit from these commissions apart from salary as employees of WEIL. Generally, the commissions can range from less than 55% to more than 100% of the first year's premium which is shared



with the unrelated general agent placing the insurance on behalf of the client, to smaller amounts, depending on the product. Usually, the agent may also receive annual trailing commissions when the owner of the insurance product pays periodic premiums. Clients, however, are not under any obligation to engage Robert or Tyler when considering implementation of advisory recommendations. The implementation of any or all of these or other recommendations is solely at the discretion of the client.

Certain management personnel of WEIL, in their separate capacities are licensed as real estate brokers. Specifically, Matthew Weil is licensed as a California Real Estate Broker. As such, he can earn separate compensation for the sale or rental of real estate properties. Real estate brokerage services are not offered to clients of WEIL but if they are offered, clients are not under any obligation to engage these individuals when considering implementation of such services. The implementation of any or all such services is solely at the discretion of the client.

WEIL and/or management personnel of WEIL are related, through common ownership and control, to SMI and CWCAA which are companies formed to create and package limited partnerships and/or limited liability companies (or similar pooled investment vehicles hereinafter referred to as "entities") for investment purposes.

WEIL or one or more of our related persons also act as general partner or manager of these entities. A list of these affiliated entities is specifically disclosed on Schedule D of Form ADV, Part 1 at Item 7.B. (Part 1 of our Form ADV can be accessed by following the directions provided on the Cover Page of this Firm Brochure.)

In addition, our firm serves as the investment adviser to such entities. Advisory clients of our firm are solicited to invest in these entities; however, because investment in these types of entities may involve certain additional degrees of risk, they will only be recommended when consistent with the client's stated investment objectives, tolerance for risk, liquidity and suitability. Clients are under no obligation to invest in any of the above described entities or to implement any advisory recommendations.

**How We Handle Conflicts of Interests** Clients should be aware that the receipt of additional compensation by WEIL and its management persons or employees creates a conflict of interest that may impair the objectivity of our firm and these individuals when making advisory recommendations. During the course of any given year, selected clients of WEIL, who may or may not be MAP Clients, may participate in ventures sponsored by SMI or CWCAA. In the case of MAP accounts, WEIL excludes the value of such assets from the advisory fees charged to the client. WEIL endeavors at all times to put the interest of its clients first as part of our fiduciary duty as a registered investment adviser, and we take the following steps to address this conflict:

- we disclose to clients the existence of all material conflicts of interest, including the potential for our firm and our employees to earn compensation from advisory clients in addition to our firm's advisory fees;
- we disclose to clients that they are not obligated to purchase recommended investment products from our employees or affiliated companies;
- we collect, maintain and document accurate, complete and relevant client background information, including the client's financial goals, objectives and risk tolerance;
- our firm's management conducts regular reviews of each client account to verify that all recommendations made to a client are suitable to the client's needs and circumstances;
- we require that our employees seek prior approval of any outside employment activity so that we may ensure that any conflicts of interests in such activities are properly addressed;
- we periodically monitor these outside employment activities to verify that any conflicts of interest

- continue to be properly addressed by our firm; and
- we educate our employees regarding the responsibilities of a fiduciary, including the need for having a reasonable and independent basis for the investment advice provided to clients.

## **Item 11 Code of Ethics, Participation or Interest in Client Transactions and Personal Trading**

Our firm has adopted a Code of Ethics which sets forth high ethical standards of business conduct that we require of our employees, including compliance with applicable federal securities laws.

WEIL and our personnel owe a duty of loyalty, fairness and good faith towards our clients, and have an obligation to adhere not only to the specific provisions of the Code of Ethics but to the general principles that guide the Code.

Our Code of Ethics includes policies and procedures for the review of quarterly securities transactions reports as well as initial and annual securities holdings reports that must be submitted by the firm's access persons. Among other things, our Code of Ethics also requires the prior approval of any acquisition of securities in a limited offering (e.g., private placement) or an initial public offering. Our code also provides for oversight, enforcement and recordkeeping provisions.

WEIL's Code of Ethics further includes the firm's policy prohibiting the use of material non-public information. While we do not believe that we have any particular access to non-public information, all employees are reminded that such information may not be used in a personal or professional capacity.

A copy of our Code of Ethics is available to our advisory clients and prospective clients. You may request a copy by email sent to [lsword@cweil.com](mailto:lsword@cweil.com), or by calling us at 800-355-9345.

Many of the executives of WEIL may also be executives of CWCAA and/or SMI, which both act as the General Partner and/or Managing Member of various limited partnerships/limited liability companies (the Funds). The General Partner/Managing Member has designated WEIL as having primary responsibility for investment management and administrative matters such as accounting, tax and periodic reporting pertaining to the Funds. WEIL and our members, officers and employees will devote to the Funds as much time as we deem necessary and appropriate to manage the Fund's business. WEIL and our affiliates are not restricted from forming additional investment funds, entering into other investment advisory relationships or engaging in other business activities, even though such activities may be in competition with the Funds and/or may involve substantial time and resources of our firm and our affiliates. Potentially, such activities could be viewed as creating a conflict of interest in that the time and effort of our management personnel and employees will not be devoted exclusively to the business of the Fund, but could be allocated between the businesses of the Funds and other of our business activities and those of our affiliates.

Investments in the Funds may be recommended to advisory clients for whom a partnership investment may be more suitable than would a separate advisory account managed by our firm. Clients who invest in the Funds are not charged any additional advisory fees other than the advisory fee allocated to the limited partners of the Funds.

The Funds are not required to register as an investment company under the Investment Company Act of 1940 in reliance upon an exemption available to funds whose securities are not publicly offered. WEIL manages the Funds on a discretionary basis in accordance with the terms and conditions of the Fund's offering and organizational documents.

Our Code of Ethics is designed to assure that the personal securities transactions, activities and interests of our employees will not interfere with (i) making decisions in the best interest of advisory clients and (ii) implementing such decisions while, at the same time, allowing employees to invest for their own accounts.

Our firm and/or individuals associated with our firm may buy or sell for their personal accounts securities identical to or different from those recommended to our clients. In addition, any related person(s) may have an interest or position in a certain security(ies) which may also be recommended to a client.

It is the expressed policy of our firm that no person employed by us may purchase or sell any security prior to a transaction(s) being implemented for an advisory account, thereby preventing such employee(s) from benefiting from transactions placed on behalf of advisory accounts.

We may aggregate our employee trades with client transactions where possible and when compliant with our duty to seek best execution for our clients. In these instances, participating clients will receive an average share price and transaction costs will be shared equally and on a pro-rata basis. In the instances where there is a partial fill of a particular batched order, we will allocate all purchases pro-rata, with each account paying the average price. Our employee accounts will be included in the pro-rata allocation.

As these situations represent actual or potential conflicts of interest to our clients, we have established the following policies and procedures for implementing our firm's Code of Ethics, to ensure our firm complies with its regulatory obligations and provides our clients and potential clients with full and fair disclosure of such conflicts of interest:

- No principal or employee of our firm may put his or her own interest above the interest of an advisory client.
- No principal or employee of our firm may buy or sell securities for their personal portfolio(s) where their decision is a result of information received as a result of his or her employment unless the information is also available to the investing public.
- It is the expressed policy of our firm that no person employed by us may purchase or sell any security prior to a transaction(s) being implemented for an advisory account. This prevents such employees from benefiting from transactions placed on behalf of advisory accounts.
- Our firm requires prior approval for any IPO or private placement investments by related persons of the firm.
- We maintain a list of all reportable securities holdings for our firm and anyone associated with this advisory practice that has access to advisory recommendations ("access person"). These holdings are reviewed on a regular basis by our firm's Chief Compliance Officer or his/her designee.
- We have established procedures for the maintenance of all required books and records.
- All clients are fully informed that related persons may receive separate commission compensation when effecting transactions during the implementation process.
- Clients can decline to implement any advice rendered, except in situations where our firm is granted discretionary authority.
- All of our executives and employees must act in accordance with all applicable Federal and State regulations governing registered investment advisory practices.
- We require delivery and acknowledgement of the Code of Ethics by each supervised person of our firm.
- We have established policies requiring the reporting of Code of Ethics violations to our senior management.

Any individual who violates any of the above restrictions may be subject to termination. As disclosed in the preceding section of this Brochure (Item 10), related persons of our firm may be, licensed as insurance agent/brokers and/or as real estate agents/brokers. Please refer to Item 10 for a detailed explanation of these relationships and important conflict of interest disclosures.

## **Item 12 Brokerage Practices**

Christopher Weil & Company, Inc. does not have any formal soft-dollar arrangements.

For discretionary clients, WEIL requires these clients to notify us of the broker dealer that they use as custodian of their accounts. In order for WEIL to transact trades for the securities bought and/or sold in accordance with the management relationship between the client and WEIL, the client must select brokers or dealers (a Brokerage Firm) for their account. The client may pay costs to the Brokerage Firm, including but not limited to execution costs, exchange fees, custody fees and/or brokerage commissions. WEIL has negotiated a preferred pricing relationship with Fidelity Investments for clients. Clients may choose Fidelity Investments to custody the assets managed by WEIL. Alternatively, WEIL will work with the client to select another Brokerage Firm that best fits their needs. When possible, WEIL may aggregate certain transactions for the account with transactions in the same security done on behalf of some of WEIL's other clients on the same day. WEIL's order aggregation practices and block trading are described below.

WEIL will block trades where possible and when advantageous to clients. This blocking of trades permits the trading of aggregate blocks of securities composed of assets from multiple client accounts, so long as transaction costs are shared equally and on a pro-rated basis between all accounts included in any such block.

Block trading may allow us to execute equity trades in a timelier, more equitable manner, at an average share price. WEIL will typically aggregate trades among clients whose accounts can be traded at a given broker, and generally will rotate or vary the order of brokers through which it places trades for clients on any particular day. WEIL's block trading policy and procedures are as follows:

Transactions for any client account may not be aggregated for execution if the practice is prohibited by or inconsistent with the client's advisory agreement with WEIL, or our firm's order allocation policy.

The trading desk in concert with the portfolio manager must determine that the purchase or sale of the particular security involved is appropriate for the client and consistent with the client's investment objectives and with any investment guidelines or restrictions applicable to the client's account.

The portfolio manager must reasonably believe that the order aggregation will benefit, and will enable WEIL to seek best execution for each client participating in the aggregated order. This requires a good faith judgment at the time the order is placed for the execution. It does not mean that the determination made in advance of the transaction must always prove to have been correct in the light of a "20-20 hindsight" perspective. WEIL will generally aggregate trades when consistent with its duty to seek best execution on behalf of client accounts included in a particular order. Factors considered when seeking best execution may include the quality of execution as well as seeking best net price among various other factors.

Prior to entry of an aggregated order, a written order ticket must be completed which identifies each client account participating in the order and the proposed allocation of the order, upon completion, to those clients.

If we receive a partial fill of an aggregated order, we will normally allocate the partially filled transaction to clients based on an equitable rotational system that considers a random or prorated assignment of client accounts generated by our internal system. If one or both of our mutual funds are included in the aggregated order a pure pro rata allocation will be used due to size inequity. Otherwise, adjustments to this pro rata

allocation may be made to participating client accounts in accordance with other written statement of allocation. Furthermore, adjustments to a pro rata allocation may be made to avoid having odd amounts of shares held in any client account, or to avoid excessive ticket charges in smaller accounts.

Generally, each client that participates in the aggregated order must do so at the average price for all separate transactions made to fill the order, and must share in the commissions on a pro rata basis in proportion to the client's participation. Under the client's agreement with the custodian/broker, transaction costs may be based on the number of shares traded for each client.

If the order will be allocated in a manner other than that stated in the initial statement of allocation, a written explanation of the change must be provided to and approved by the Chief Compliance Officer no later than the morning following the execution of the aggregate trade.

WEIL's client account records separately reflect, for each account in which the aggregated transaction occurred, the securities which are held by, and bought and sold, for that account.

Funds and securities for aggregated orders are clearly identified on WEIL's records and to the broker-dealers or other intermediaries handling the transactions, by the appropriate account numbers for each participating client.

WEIL will attempt to be fair and equitable with its trade aggregation and allocation procedure so that no client or account will be favored over another.

Fidelity charges brokerage commissions and transaction fees for effecting certain securities transactions (i.e., transactions fees are charged for certain no-load mutual funds, commissions are charged for individual equity and debt securities transactions). Fidelity enables WEIL to obtain many no-load mutual funds without transaction charges and other no-load funds at nominal transaction charges. Fidelity's commission rates are generally considered discounted from customary retail commission rates. However, the commissions and transaction fees charged by Fidelity may be higher or lower than those charged by other custodians and broker-dealers. As part of the arrangement, Fidelity also makes available to our firm, at no additional charge to us, certain research and brokerage services, including research services obtained by Fidelity directly from independent research companies, as selected by WEIL (within specified parameters). These research and brokerage services presently include services that are used by our firm to manage accounts for which we have investment discretion.

As a result of receiving such services for no additional cost, we may have an incentive to continue to use or expand the use of Fidelity's services. We examined this potential conflict of interest when we chose to enter into the relationship with Fidelity and have determined that the relationship is in the best interests of WEIL's clients and satisfies our client obligations, including our duty to seek best execution. A client may pay a commission that is higher than another qualified broker-dealer might charge to effect the same transaction where we determine in good faith that the commission is reasonable in relation to the value of the brokerage and research services received. In seeking best execution, the determinative factor is not the lowest possible cost, but whether the transaction represents the best qualitative execution, taking into consideration the full range of a broker-dealer's services, including the value of research provided, execution capability, commission rates, and responsiveness. Accordingly, while WEIL will seek competitive rates, to the benefit of all clients, we may not necessarily obtain the lowest possible commission rates for specific client account transactions. Although the investment research products and services that may be obtained by us will generally be used to service all of our clients, a brokerage commission paid by a specific client may be used to pay for research that is not used in managing that specific client's account. WEIL and Fidelity are not affiliated.

## **Item 13 Review of Accounts**

### **Reviews**

While the underlying securities within the Managed Asset Portfolio Services ("MAP") Program accounts are continually monitored on a regular and ongoing basis, these accounts are reviewed at least quarterly. Accounts are reviewed in the context of each client's stated investment objectives and guidelines. More frequent reviews may be triggered by material changes in variables such as the client's individual circumstances, or the market, political or economic environment.

These accounts are reviewed by the Investment Committee which is comprised of:

**John V. Wells**, President and Chief Executive Officer. Acts as the head of the Investment Committee and monitors financial markets on an ongoing basis, recommends and implements investment decisions on behalf of clients.

**Danny Cung**, Investment Strategist / Financial Planner. Monitors financial markets on an ongoing basis, recommends and implements investment decisions on behalf of clients. Maintains relationship with clients and advisors to ensure WEIL knows its clients.

**Michael Hubbert**, Portfolio Manager. Monitors financial markets on an ongoing basis, recommends and implements investment decisions on behalf of entire portfolio and clients.

### **Reports**

All clients will receive confirmations at the time of each transaction directly from the client's broker/dealer custodian. Additionally, clients will receive monthly statements showing activity transacted during each month and annual summary statements, directly from the clearing broker/dealer. These statements will include information on account value as well as transactional history for the month.

On a quarterly basis, clients will receive informational reports summarizing account performance and advisory fees charged, directly from WEIL.

At least annually, a member of the Investment Committee will seek to individually review the accounts and will confirm client's investment objectives and financial situation.

## **Item 14 Client Referrals and Other Compensation**

### **Client Referrals**

It is our policy not to engage solicitors or to pay related or non-related persons for referring potential clients to our firm.

### **Other Compensation**

It is WEIL's policy not to accept or allow our related persons to accept any form of compensation, including cash, sales awards or other prizes, from a non-client in conjunction with the advisory services we provide to our clients.

## **Item 15 Custody**

We previously disclosed in the "Fees and Compensation" section (Item 5) of this Brochure that our firm may directly debit advisory fees from client accounts.

As part of this billing process, the client's custodian is advised of the amount of the fee to be deducted from that client's account. On at least a quarterly basis, the custodian is required to send to the client a statement showing all transactions within the account during the reporting period.

Because the custodian does not calculate the amount of the fee to be deducted, it is important for clients to carefully review their custodial statements to verify the accuracy of the calculation, among other things. Clients should contact us directly if they believe that there may be an error in their statement.

In general, and whenever possible we custody client assets with qualified custodians in the clients name. However, for certain limited partnerships and alternative assets we may be deemed to have custody of client funds when client assets are invested in certain private equity funds (collectively Funds) where our affiliates manage or act as General Partner or Managing Member to those Funds. As a result, we seek to have each the these Funds audited where required on an annual basis by an independent public accountant that is both registered with and subject to regular inspection by the Public Company Accounting Oversight Board (PCAOB). It is our policy to seek to send these audited financials to each Fund investor, as appropriate, within 120 days of the applicable Fund's fiscal year end.

WEIL is also deemed to have custody of certain assets of its affiliated private equity funds and for certain client accounts in which it has been named trustee or successor trustee. Therefore, in accordance with internal control requirements pursuant to Rule 206(4)-2 under the Investment Advisers Act of 1940, WEIL engages an independent public accountant that is both registered with and subject to regular inspection by the PCAOB to annually conduct an SSAE 16 review and annual surprise custody examination.

## **Item 16 Investment Discretion**

Clients may hire us to provide discretionary asset management services, in which case we place trades in a client's account without contacting the client prior to each trade to obtain the client's permission. Our discretionary authority includes the ability to do the following without contacting the client:

- determine the security to buy or sell; and/or
- determine the amount of the security to buy or sell

Clients give us discretionary authority when they sign a discretionary agreement with our firm, and may limit this authority by giving us written instructions. Clients may also change/amend such limitations by once again providing us with written instructions.

## **Item 17 Voting Client Securities**

### **Adoption of Proxy Voting Policy**

WEIL has adopted a proxy voting policy (the "Proxy Policy") that we believe is reasonably designed to ensure that proxies are voted in the best interest of clients.

### **Authority and Procedures for Proxy Voting**

Clients give WEIL authority to vote the proxies through the MAP Agreement unless instructed otherwise.

WEIL will only vote proxies for securities selected and purchased by WEIL. Proxy voting for securities, not selected by WEIL but held in client's account(s), will not be voted by WEIL and are the sole responsibility of

the client. However, WEIL may provide such services to clients who qualify for our RMA Premium Services and request such services as described in Item 4.

Generally, we do not offer consulting assistance regarding proxy issues for clients outside assets or assets not selected by WEIL.

If the client wishes to vote their own proxy for a security at any time, the client must notify WEIL in advance. In such cases the authorization to vote proxies for all other selected securities will remain with WEIL unless and until such authorization is revoked in writing.

Clients may obtain a copy of our complete proxy voting policies and procedures by contacting WEIL by telephone, email, or in writing. Clients may request, in writing, information on how proxies for his/her shares were voted. If any client requests a copy of our complete proxy policies and procedures or how we voted proxies for his/her account(s), we will promptly provide such information to the client.

With respect to ERISA accounts, we will vote proxies unless the plan documents specifically reserve the plan sponsor's right to vote proxies. To direct us to vote a proxy in a particular manner, clients should contact WEIL by telephone, email, or in writing.

WEIL will only advise and coordinate legal proceedings for securities selected and purchased by WEIL. In general we will neither advise nor act on behalf of the client in legal proceedings involving other securities held in the client's account(s), including, but not limited to, the filing of "Proofs of Claim" in class action settlements. However, WEIL will provide advice and coordination on class action lawsuit-filings for clients who qualify for our RMA Premium Services and request such services as described in Item 4.

If desired, clients may direct us to transmit copies of class action notices to the client or a third party. Upon such direction, we will make commercially reasonable efforts to forward such notices in a timely manner.

## **Item 18 Financial Information**

Under no circumstances do we require or solicit payment of fees in excess of \$1,200 per client more than six months in advance of services rendered. Therefore, we are not required to include a financial statement.

As an advisory firm that maintains discretionary authority for client accounts or is deemed to have custody, we are required to disclose any financial condition that is reasonably likely to impair our ability to meet our contractual obligations. WEIL has no additional financial circumstances to report.

WEIL has not been the subject of a bankruptcy petition at any time during the past ten years.



**The Weil Company**  
**dba Christopher Weil & Company, Inc.**

**Form ADV Part 2B**  
**Investment Adviser Brochure Supplement**

November 30, 2022

*John Vianney Wells*

Form ADV Part 2B  
Investment Adviser Brochure Supplement

11236 El Camino Real, Suite 200  
San Diego, CA 92130  
800-355-9345

Christopher Weil & Company, Inc.  
11236 El Camino Real, Suite 200  
San Diego, CA 92130

11/30/2022

This brochure supplement provides information about John Vianney Wells that supplements the Christopher Weil & Company, Inc. brochure. You should have received a copy of that brochure. Please contact Laura Sword at 800-355-9345 if you did not receive Christopher Weil & Company, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about John Vianney Wells is available on the SEC's website at:

[www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)  
<https://www.adviserinfo.sec.gov/Individual/2139802>

## Item 2 Educational Background and Business Experience

**Full Legal Name:** John Vianney Wells

**Born:** 1967

### Education

- University of Redlands; BA, American and Asian Studies; 1989

### Business Experience

- Christopher Weil & Company, Inc.; President and Chief Executive Officer; from 09/1991 to Present

## Item 3 Disciplinary Information

John Vianney Wells has no reportable disciplinary history.

## Item 4 Other Business Activities

### A. Investment-Related Activities

John Wells is not engaged in the other investment-related activities

John Wells does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

### B. Non-Investment Related Activities

John Wells is engaged in other business or occupations that involve a substantial amount of his time. This other business is solely related to affiliated companies of WEIL.

CWC Asset Advisors, Inc. (CWCAA), is a non-investment related affiliate of WEIL and is under common ownership and control. CWCAA conducts business at the same location as WEIL and acts as a corporate general manager and/or managing member of several private placement limited liability companies and the general partner of limited partnerships. John Wells became affiliated with CWCAA in 2000 and is an officer of the company. While he spends various amounts of time, all concurrent with his work with WEIL, as needed managing day to day operations of the various entities, it is estimated that he spends less than 10% of his time related to CWCAA activities during trading hours. John Wells receives no additional current compensation for his activities with CWCAA. John Wells has however been assigned a portion of the allocations of profit otherwise due to CWCAA earned as the general manager of various entities, current and future. Under this assignment, John Wells is entitled to receive an allocation of profit or loss and distributions of cash in accordance with the various profit allocations of the private assets for which CWCAA acts as the corporate general partner and/or managing member.

Storage Managers, Inc. (SMI) is also an affiliate of WEIL and is under 82.5% common ownership and control as WEIL Storage Managers, Inc. conducts business at the same location as WEIL and acts as a corporate general partner of several private placement limited partnerships. John Wells became affiliated with SMI in 1991. While he spends various amounts of time, all concurrent with his work with WEIL, as needed managing day to day operations of the various entities, it is estimated that he spends less than 2% of his time related to SMI activities during trading hours. John Wells receives no additional compensation for his activities with SMI.

These non-investment related activities, through its affiliates CWCAA and SMI, draw on the attention

of key officers and employees, including John Wells so that his time must be allocated among several business lines. It is possible that such multiple activities could have an adverse impact on clients of WEIL. John Wells, together with the other employees of WEIL intends to devote as much time, knowledge, resources and personnel as is necessary to accomplish the clients' objectives, but will not be devoted full-time to the account(s) of the individual client.

## **Item 5 Additional Compensation**

John Wells does not receive any economic benefit from any non-advisory client for the provision of advisory services.

## **Item 6 Supervision**

<b>Supervisor:</b>	Laura Sword
<b>Title:</b>	CFO/Compliance Officer
<b>Phone Number:</b>	858-724-6055

WEIL depends on the ability of its employees and affiliates to provide quality services to clients in a manner that is ethical, fair, and equitable to all concerned. The responsibility to supervise its operations, in particular the activities of its employees is a common theme in SEC regulations as well as in our own policies and procedures. The statutes of individual states echo the regulators' concerns.

WEIL supervises its business conducted by registered persons and other qualified staff through its President, Compliance Officer or other qualified personnel who report to managers. The President and Compliance Officer are key members of the team and play a vital role in maintaining WEIL and John Wells' activities in a manner consistent with the regulatory and compliance standards that apply in this difficult regulatory environment. The President and Compliance Officer are responsible for setting the tone regarding sales practices within the firm among all registered and unregistered staff. These standards must at least meet the thresholds established by WEIL, which are in turn based upon regulatory requirements. The Compliance Officer is required to have three (3) years or more of specifically related industry experience in the area that they will be supervising and licensure as required by WEIL and determined by WEIL's business mix. WEIL has a duty of utmost good faith to act solely in the best interests of each of our clients. Our clients entrust us with their funds, which in turn places a high standard on our conduct and integrity. Our fiduciary duty compels all employees and Affiliates to act with the utmost integrity in all of our dealings. This fiduciary duty is the core principle underlying this Code of Ethics and represents the expected basis of all of our dealings with our clients.

The WEIL Code of Ethics has been established to set forth the culture of ethics at WEIL and its affiliates and to prevent fraud by reinforcing the fiduciary principles that must govern the conduct of our firm. WEIL places client interests ahead of employees', require employees to always act in the best interest of the client, governs employee actives to avoid actual or perceived conflicts of interest and prevents employees from taking advantage of their position in the firm and ensure that employees strictly adhere to all securities laws.

***Laura Theresa Sword (formerly Gordon)***

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This brochure supplement provides information about Laura Theresa Sword that supplements the Christopher Weil & Company, Inc. brochure. You should have received a copy of that brochure. Please contact Laura Sword at 858-724-6055 if you did not receive Christopher Weil & Company, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about Laura Theresa Sword is available on the SEC's website at:

[www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)  
<https://www.adviserinfo.sec.gov/Individual/1370406>

## Item 2 Educational Background and Business Experience

**Full Legal Name:** Laura Theresa Sword

**Born:** 1962

### Education

- California State University, Northridge; BS, Business, Finance Theory; 1985

### Business Experience

- Christopher Weil & Company, Inc.; Chief Operating Officer/Chief Compliance Officer; from 3/1994 to Present
- Self Employed; Self Employed - Business Consulting and Accounting; from 06/1992 to 09/2001

## Item 3 Disciplinary Information

Laura Theresa Sword has no reportable disciplinary history.

## Item 4 Other Business Activities

### A. Investment-Related Activities

Laura Sword is not engaged in other investment-related activities.

Laura Sword does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

### B. Non-Investment Related Activities

Laura Sword is engaged in other business or occupations that involve a substantial amount of her time. This other business is solely related to affiliated companies of WEIL.

CWC Asset Advisors, Inc. (CWCAA), is a non-investment related affiliate of WEIL and is under common ownership and control. CWCAA conducts business at the same location as WEIL and acts as a corporate general manager and/or managing member of several private placement limited liability companies and the general partner of limited partnerships. Laura Sword became affiliated with CWCAA in 2000 and is an officer of the company. While she spends various amounts of time, all concurrent with her work with WEIL, as needed managing day to day operations of the various entities, it is estimated that she spends less than 15% of her time related to CWCAA activities during trading hours. Laura Sword receives no additional current compensation for her activities with CWCAA. Laura Sword has however been assigned a portion of the allocations of profit otherwise due to CWCAA earned as the general manager of various entities, current and future. Under this assignment, Laura Sword is entitled to receive an allocation of profit or loss and distributions of cash in accordance with the various profit allocations of the private assets for which CWCAA acts as the corporate general partner and/or managing member.

Storage Managers, Inc. (SMI) is also an affiliate of WEIL and is under 82.5% common ownership and control as WEIL. Storage Managers, Inc. conducts business at the same location as WEIL and acts as a corporate general partner of several private placement limited partnerships. Laura Sword became affiliated with SMI in 1994. While she spends various amounts of time, all concurrent with her work with WEIL, as needed managing day to day operations of the various entities, it is estimated that she spends less than 10% of her time related to SMI activities during trading hours. Laura Sword receives

no additional compensation for her activities with SMI.

These non-investment related activities, through its affiliates CWCAA and SMI draw on the attention of key officers and employees, including Laura Sword so that her time must be allocated among several business lines. Further, Laura Sword acts in similar capacities for several clients. It is possible that such multiple activities could have an adverse impact on clients of WEIL. Laura Sword, together with the other employees of WEIL intends to devote as much time, knowledge, resources and personnel as is necessary to accomplish the client's objectives, but will not be devoted full-time to the account(s) of the individual client.

## **Item 5 Additional Compensation**

Laura Sword does not receive any economic benefit from a non-advisory client for the provision of advisory services.

## **Item 6 Supervision**

<b>Supervisor:</b>	John Wells
<b>Title:</b>	President/CEO
<b>Phone Number:</b>	858-724-6042

WEIL depends on the ability of its employees and affiliates to provide quality services to clients in a manner that is ethical, fair, and equitable to all concerned. The responsibility to supervise its operations, in particular the activities of its employees is a common theme in SEC regulations as well as in our own policies and procedures. The statutes of individual states echo the regulators' concerns.

WEIL supervises its business conducted by registered persons and other qualified staff through its President, Compliance Officer and other qualified personnel who report to managers. The President and Compliance Officer are key members of the team and play a vital role in maintaining WEIL and Laura Sword's activities in a manner consistent with the regulatory and compliance standards that apply in this difficult regulatory environment. The President and Compliance Officer are responsible for setting the tone regarding sales practices within the firm among all registered and unregistered staff. These standards must at least meet the thresholds established by WEIL, which are in turn based upon regulatory requirements. The Compliance Officer is required to have three (3) years or more of specifically related industry experience in the area that they will be supervising and licensure as required by WEIL and determined by WEIL's business mix. WEIL has a duty of utmost good faith to act solely in the best interests of each of our clients. Our clients entrust us with their funds, which in turn places a high standard on our conduct and integrity. Our fiduciary duty compels all employees and Affiliates to act with the utmost integrity in all of our dealings. This fiduciary duty is the core principle underlying this Code of Ethics and represents the expected basis of all of our dealings with our clients.

The WEIL Code of Ethics has been established to set forth the culture of ethics at WEIL and its affiliates and to prevent fraud by reinforcing the fiduciary principles that must govern the conduct of our firm. WEIL places client interests ahead of employees', require employees to always act in the best interest of the client, governs employee activities to avoid actual or perceived conflicts of interest and prevents employees from taking advantage of their position in the firm and ensures that employees strictly adhere to all securities laws.

*Christopher Francis Weil*

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This brochure supplement provides information about Christopher Francis Weil that supplements the Christopher Weil & Company, Inc. brochure. You should have received a copy of that brochure. Please contact Laura Sword at 858-724-6055 if you did not receive Christopher Weil & Company, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about Christopher Francis Weil is available on the SEC's website at:

[www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)  
<https://www.adviserinfo.sec.gov/Individual/461585>



## Item 2 Educational Background and Business Experience

**Full Legal Name:** Christopher Francis Weil

**Born:** 1937

### Education

- University of California, Los Angeles; BA, Philosophy; 1989

### Business Experience

- Christopher Weil & Company, Inc.; Chairman of the Board; from 01/1990 to Present

## Item 3 Disciplinary Information

Christopher Weil has no reportable disciplinary history.

## Item 4 Other Business Activities

### A. Investment Related Activities

Christopher Weil is not engaged in other investment-related activities.

Christopher Weil does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

### B. Non-Investment Related Activities

Christopher Weil is engaged in other business or occupations that involve a substantial amount of his time. This other business is solely related to affiliated companies of WEIL.

CWC Asset Advisors, Inc. (CWCAA), is a non-investment related affiliate of WEIL and is under common ownership and control. CWCAA conducts business at the same location as WEIL and acts as a corporate general manager and/or managing member of several private placement limited liability companies and the general partner of limited partnerships. Christopher Weil became affiliated with CWCAA in 2000 and is an officer of the company. While he spends various amounts of time, all concurrent with his work with WEIL, as needed managing day to day operations of the various entities, it is estimated that he spends less than 5% of his time related to CWCAA activities during trading hours. Christopher Weil receives no additional current compensation for his activities with CWCAA. Christopher Weil owns 100% of CWCAA and therefore has an economic interest in the firm. Christopher Weil has however assigned a portion of the allocations of profit otherwise due to CWCAA as the general manager of various entities, current and future to various principal employees of WEIL. Under this assignment, these various employees are entitled to receive an allocation of profit or loss and distributions of cash in accordance with the various profit allocations of the private assets for which CWCAA acts as the corporate general partner and/or managing member. The remainder of any income is entitled to Christopher Weil as owner of CWCAA.

Storage Managers, Inc. (SMI) is also an affiliate of WEIL and is under 82.5% common ownership and control as WEIL. Storage Managers, Inc. conducts business at the same location as WEIL and acts as a corporate general partner of several private placement limited partnerships. Christopher Weil became affiliated with SMI in 1989.

While he spends various amounts of time, all concurrent with his work with WEIL, as needed managing day to day operations of the various entities, it is estimated that he spends less than 2% of his time related to SMI activities during trading hours.

Christopher Weil receives no additional compensation for his activities with SMI. Christopher Weil owns 82.5% of SMI and therefore has an economic interest in the firm and it entitled to the income of SMI.

These non-investment related activities, through its affiliates CWCAA and SMI draw on the attention of key officers and employees, including Christopher Weil so that his time must be allocated among several business lines. It is possible that such multiple activities could have an adverse impact on clients of WEIL. Christopher Weil, together with the other employees of WEIL intends to devote as much time, knowledge, resources and personnel as is necessary to accomplish the clients' objectives, but will not be devoted full-time to the account(s) of the individual client.

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

Christopher Weil does not receive any economic benefit from any non-advisory client for the provision of advisory services.

### **Item 6 Supervision**

<b>Supervisor:</b>	John Wells	Laura Sword
<b>Title:</b>	President/CEO	CFO/Compliance Officer
<b>Phone Number:</b>	858-724-6052	858-724-6055

WEIL depends on the ability of its employees and affiliates to provide quality services to clients in a manner that is ethical, fair, and equitable to all concerned. The responsibility to supervise its operations, in particular the activities of its employees is a common theme in SEC regulations as well as in our own policies and procedures. The statutes of individual states echo the regulators' concerns.

WEIL supervises its business conducted by registered persons and other qualified staff through its President, Compliance Officer and other registered principals or other qualified personnel who report to managers. The President and Compliance Officer are key members of the team and play a vital role in maintaining WEIL and Christopher Weil's activities in a manner consistent with the regulatory and compliance standards that apply in this difficult regulatory environment. The President and Compliance Officer are responsible for setting the tone regarding sales practices within the firm among all registered and unregistered staff. These standards must at least meet the thresholds established by WEIL, which are in turn based upon regulatory requirements. The Compliance Officer is required to have three (3) years or more of specifically related industry experience in the area that they will be supervising and licensure as required by WEIL and determined by WEIL's business mix. WEIL has a duty of utmost good faith to act solely in the best interests of each of our clients. Our clients entrust us with their funds, which in turn places a high standard on our conduct and integrity. Our fiduciary duty compels all employees and Affiliates to act with the utmost integrity in all of our dealings. This fiduciary duty is the core principle underlying this Code of Ethics and represents the expected basis of all of our dealings with our clients.

The WEIL Code of Ethics has been established to set forth the culture of ethics at WEIL and its affiliates and to prevent fraud by reinforcing the fiduciary principles that must govern the conduct of our firm. WEIL places client interests ahead of employees', requires employees to always act in the best interest of the client, governs employee activities to avoid actual or perceived conflicts of interest and prevents employees from taking advantage of their position in the firm and ensures that employees strictly adhere to all securities laws.

***Robert Maurice Gaan***

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This brochure supplement provides information about Robert Maurice Gaan that supplements the Christopher Weil & Company, Inc. brochure. You should have received a copy of that brochure. Please contact Laura Sword at 800-355-9345 if you did not receive Christopher Weil & Company, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about Robert Maurice Gaan is available on the SEC's website at:

[www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)  
<https://www.adviserinfo.sec.gov/Individual/1952921>

## Item 2 Educational Background and Business Experience

**Full Legal Name:** Robert Maurice Gaan

**Born:** 1963

### Education

- University of California, Los Angeles; BA, Economics; 1984
- University of California, Berkeley Extension; Certificate, Personal Financial Planning; 1998

### Business Experience

- Christopher Weil & Company, Inc.; Director of Marketing; from 05/1994 to Present

### Designations

Robert Gaan has earned the following designation(s) and is in good standing with the granting authority:

- **Certified Financial Planner™; Certified Financial Planner Board of Standards, Inc.; 1998**  
The program is administered by the Certified Financial Planner Board of Standards Inc. Those with the CFP® designation have demonstrated competency in all areas of finance related to financial planning. Candidates complete studies on over 100 topics, including stocks, bonds, taxes, insurance, retirement planning and estate planning. In addition to passing the CFP certification exam, candidates must also complete qualifying work experience and agree to adhere to the CFP Board's code of ethics and professional responsibility and financial planning standards.

### Professional Licenses

- Life Insurance Agent; State of California, Department of Insurance; 2000

## Item 3 Disciplinary Information

Robert Gaan has no reportable disciplinary history.

## Item 4 Other Business Activities

### A. Investment-Related Activities

Robert Gaan is engaged in the following investment-related activities.

#### **Insurance company or agent**

Robert Gaan is a licensed Life Insurance Agent; State of California, Department of Insurance. Licensing as an insurance representative allows Robert Gaan to offer various insurance products such as life insurance and long term care insurance. The ability to offer these products to clients allows WEIL and Robert Gaan a much more robust suite of products thereby providing the client with a more comprehensive financial plan.

As an agent, Robert Gaan is entitled to commissions on the sale of insurance products. 100% of these commissions are assigned to WEIL. Robert Gaan receives no personal benefit from these commissions apart from his salary as an employee of WEIL. Generally, the commissions can range from less than

55% to more than 100% of the first year's premium which is shared with the unrelated general agent placing the insurance on behalf of the client, to smaller amounts, depending on the product. Usually, the agent may also receive annual trailing commissions when the owner of the insurance product pays periodic premiums. Clients, however, are not under any obligation

to engage Mr. Gaan when considering implementation of advisory recommendations. The implementation of any or all of these or other recommendations is solely at the discretion of the client.

Robert Gaan does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

#### **B. Non-Investment Related Activities**

Robert Gaan is engaged in other business or occupations that involve a substantial amount of his time. This other business is solely related to affiliated companies of WEIL.

CWC Asset Advisors, Inc. (CWCAA), is a non-investment related affiliate of WEIL and is under common ownership and control. CWCAA conducts business at the same location as WEIL and acts as a corporate general manager and/or managing member of several private placement limited liability companies and the general partner of limited partnerships. Robert Gaan became affiliated with CWCAA in 2000 and is an officer of the company. While he spends various amounts of time, all concurrent with his work with WEIL, as needed managing day to day operations of the various entities, it is estimated that he spends less than 5% of his time related to CWCAA activities during trading hours. Robert Gaan receives no additional current compensation for his activities with CWCAA. Robert Gaan has however been assigned a portion of the allocations of profit otherwise due to CWCAA earned as the general manager of various entities, current and future. Under this assignment, Robert Gaan is entitled to receive an allocation of profit or loss and distributions of cash in accordance with the various profit allocations of the private assets for which CWCAA acts as the corporate general partner and/or managing member.

Storage Managers, Inc. (SMI) is also an affiliate of WEIL and is under 82.5% common ownership and control as WEIL. Storage Managers, Inc. conducts business at the same location as WEIL and acts as a corporate general partner of several private placement limited partnerships. Robert Gaan became affiliated with SMI in 1999. While he spends various amounts of time, all concurrent with his work with WEIL, as needed managing day to day operations of the various entities, it is estimated that he spends less than 2% of his time related to SMI activities during trading hours. Robert Gaan receives no additional compensation for his activities with SMI.

These non-investment related activities, through its affiliates CWCAA and SMI draw on the attention of key officers and employees, including Robert Gaan so that his time must be allocated among several business lines. It is possible that such multiple activities could have an adverse impact on clients of WEIL. Robert Gaan, together with the other employees of WEIL intends to devote as much time, knowledge, resources and personnel as is necessary to accomplish the client's objectives, but will not be devoted full-time to the account(s) of the individual client.

### **Item 5 Additional Compensation**

Robert Gaan does not receive any economic benefit from any non-advisory client for the provision of advisory services.

### **Item 6 Supervision**

<b>Supervisor:</b>	John Wells	Laura Sword
<b>Title:</b>	President/CEO	CFO/Compliance Officer
<b>Phone Number:</b>	858-724-5052	858-724-6055

WEIL depends on the ability of its employees and affiliates to provide quality services to clients in a manner that is ethical, fair, and equitable to all concerned. The responsibility to supervise its operations, in particular the activities of its employees is a common theme in SEC regulations as well as in our own policies and procedures. The statutes of individual states echo the regulators' concerns.

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The WEIL Code of Ethics has been established to set forth the culture of ethics at WEIL and its affiliates and to prevent fraud by reinforcing the fiduciary principles that must govern the conduct of our firm. WEIL places client interests ahead of employees', requires employees to always act in the best interest of the client, governs employee activities to avoid actual or perceived conflicts of interest and prevents employees from taking advantage of their position in the firm and ensures that employees strictly adhere to all securities laws.

***Matthew Francis Weil***

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This brochure supplement provides information about Matthew Francis Weil that supplements the Christopher Weil & Company, Inc. brochure. You should have received a copy of that brochure. Please contact Laura Sword at 858-724-6055 if you did not receive Christopher Weil & Company, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about Matthew Francis Weil is available on the SEC's website at:

[www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)  
<https://www.adviserinfo.sec.gov/Individual/5631867>

## Item 2 Educational Background and Business Experience

**Full Legal Name:** Matthew Francis Weil

**Born:** 1961

### Education

- University of California, Berkeley, School of Law; JD, Law; 1991
- Columbia University; Masters, Political Science; 1988
- University of California, Davis; BA, History and Russian Language; 1985

### Business Experience

- Christopher Weil & Company, Inc.; Managing Director; from 01/2009 to present
- McDermott, Will & Emery; Partner; from 03/2001 to 01/2009

### Professional Licenses

- Real Estate Broker; California Department of Real Estate; 2009

## Item 3 Disciplinary Information

Matthew Weil has no reportable disciplinary history.

## Item 4 Other Business Activities

### A. Investment-Related Activities

Matthew Weil is engaged in the following investment-related activities:

#### Real Estate Broker

Matthew Weil is a licensed Real Estate Broker; State of California. Real estate services are not generally offered or provided to clients but services may be provided to WEIL and/or affiliate's proprietary private equity funds.

As an agent, Matthew Weil is entitled to separate compensation for the sale or rental of real estate properties. 100% of these commissions can be assigned to WEIL or affiliates of WEIL but may be retained by Matthew Weil.

Matthew Weil does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

### B. Non-Investment-Related Activities

Matthew Weil is engaged in other business or occupations that involve a substantial amount of his time. This other business is solely related to affiliated companies of WEIL.

CWC Asset Advisors, Inc. (CWCAA), is a non-investment related affiliate of WEIL and is under common ownership and control. CWCAA conducts business at the same location as WEIL and acts as a corporate general manager and/or managing member of several private placement limited liability companies and the general partner of limited partnerships. Matthew Weil became affiliated with CWCAA in 2009 and is an officer of the company. While he spends various amounts of time, all concurrent with his work with WEIL, as needed managing day to day operations of the various entities, it is estimated that he spends less than 10% of his time related to CWCAA activities during



trading hours. Matthew Weil receives no additional current compensation for his activities with CWCAA. Matthew Weil has however been assigned a portion of the allocations of profit otherwise due to CWCAA earned as the general manager of various entities, current and future. Under this assignment, Matthew Weil is entitled to receive an allocation of profit or loss and distributions of cash in accordance with the various profit allocations of the private assets for which CWCAA acts as the corporate general partner and/or managing member.

Storage Managers, Inc. (SMI) is also an affiliate of WEIL and is under 82.5% common ownership and control as WEIL. Storage Managers, Inc. conducts business at the same location as WEIL and acts as a corporate general partner of several private placement limited partnerships. Matthew Weil became affiliated with SMI in 2009. While he spends various amounts of time, all concurrent with his work with WEIL, as needed managing day to day operations of the various entities, it is estimated that he spends less than 2% of his time related to SMI activities during trading hours. Matthew Weil receives no additional compensation for his activities with SMI.

These non-investment related activities, through its affiliates CWCAA and SMI draw on the attention of key officers and employees, including Matthew Weil so that his time must be allocated among several business lines. It is possible that such multiple activities could have an adverse impact on clients of WEIL. Matthew Weil, together with the other employees of WEIL intends to devote as much time, knowledge, resources and personnel as is necessary to accomplish the client's objectives, but will not be devoted full-time to the account(s) of the individual client.

## Item 5 Additional Compensation

Matthew Weil does not receive any economic benefit from any non-advisory client for the provision of advisory services.

## Item 6 Supervision

<b>Supervisor:</b>	John Wells	Laura Sword
<b>Title:</b>	President/CEO	CFO/Compliance Officer
<b>Phone Number:</b>	858-724-6052	858-724-6055

WEIL depends on the ability of its employees and affiliates to provide quality services to clients in a manner that is ethical, fair, and equitable to all concerned. The responsibility to supervise its operations, in particular the activities of its employees is a common theme in SEC regulations as well as in our own policies and procedures. The statutes of individual states echo the regulators' concerns.

WEIL supervises its business conducted by registered persons and other qualified staff through its President, Compliance Officer and other registered principals or other qualified personnel who report to managers. The President and Compliance Officer are key members of the team and play a vital role in maintaining WEIL and Matthew Weil's activities in a manner consistent with the regulatory and compliance standards that apply in this difficult regulatory environment. The President and Compliance Officer are responsible for setting the tone regarding sales practices within the firm among all registered and unregistered staff. These standards must at least meet the thresholds established by WEIL, which are in turn based upon regulatory requirements. The Compliance Officer is required to have three (3) years or more of specifically related industry experience in the area that they will be supervising and licensure as required by WEIL and determined by WEIL's business mix. WEIL has a duty of utmost good faith to act solely in the best interests of each of our clients. Our clients entrust us with their funds, which in turn places a high standard on our conduct and integrity. Our fiduciary duty compels all employees and Affiliates to act with the utmost integrity in all of our dealings. This fiduciary

duty is the core principle underlying this Code of Ethics and represents the expected basis of all of our dealings with our clients.

The WEIL Code of Ethics has been established to set forth the culture of ethics at WEIL and its affiliates and to prevent fraud by reinforcing the fiduciary principles that must govern the conduct of our firm. WEIL places client's interests ahead of employees', requires employees to always act in the best interest of the client, governs employee activities to avoid actual or perceived conflicts of interest and prevents employees from taking advantage of their position in the firm and ensures that employees strictly adhere to all securities laws.

***Danny Cung***

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This brochure supplement provides information about Danny Cung that supplements the Christopher Weil & Company, Inc. brochure. You should have received a copy of that brochure. Please contact Laura Sword at 858-724-6055 if you did not receive Christopher Weil & Company, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about Danny Cung is available on the SEC's website at:

[www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)  
<https://www.adviserinfo.sec.gov/Individual/4854055>

## Item 2 Educational Background and Business Experience

**Full Legal Name:** Danny Cung

**Born:** 1984

### Education

- University of California, San Diego; BS, Economics; 2006

### Business Experience

- Christopher Weil & Company, Inc.; Financial Advisor; from 09/2004 to present

### Designations

Danny Cung has earned the following designation(s) and is in good standing with the granting authority:

- **Certified Financial Planner™; Certified Financial Planning Board of Standards; 2011**

The program is administered by the Certified Financial Planner Board of Standards Inc. Those with the CFP® designation have demonstrated competency in all areas of finance related to financial planning. Candidates complete studies on over 100 topics, including stocks, bonds, taxes, insurance, retirement planning and estate planning. In addition to passing the CFP® certification exam, candidates must also complete qualifying work experience and agree to adhere to the CFP® Board's code of ethics and professional responsibility and financial planning standards.

- **Certified Investment Management Analyst® certification (CIMA®); 2017**

The program is administered by the Investments & Wealth Institute and taught in conjunction with the Yale School of Management. The CIMA® certification signifies that an individual has met initial and ongoing experience, ethical, education, and examination requirements for investment management consulting, including advanced investment management theory and application. A CIMA® certificant must adhere to IMCA's Code of Professional Responsibility, Standards of Practice, and Rules and Guidelines for Use of the Marks. CIMA® designees must report 40 hours of CE credits, including two ethics hours, every two years to maintain the certification.

## Item 3 Disciplinary Information

Danny Cung has no reportable disciplinary history.

## Item 4 Other Business Activities

### A. Investment-Related Activities

Danny Cung is not engaged in any other investment-related activities and does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

### B. Non-Investment Related Activities

Danny Cung is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his time.

## Item 5 Additional Compensation

Danny Cung does not receive any economic benefit from a non-advisory client for the provision of advisory services.

## Item 6 Supervision

<b>Supervisor:</b>	John Wells	Laura Sword
<b>Title:</b>	President/CEO	CFO/Compliance Officer
<b>Phone Number:</b>	858-724-6052	858-724-6055

WEIL depends on the ability of its employees and affiliates to provide quality services to clients in a manner that is ethical, fair, and equitable to all concerned. The responsibility to supervise its operations, in particular the activities of its employees is a common theme in SEC regulations as well as in our own policies and procedures. The statutes of individual states echo the regulators' concerns.

WEIL supervises its business conducted by registered persons and other qualified staff through its President, Compliance Officer and other registered principals or other qualified personnel who report to managers. The President and Compliance Officer are key members of the team and play a vital role in maintaining WEIL and Danny Cung's activities in a manner consistent with the regulatory and compliance standards that apply in this difficult regulatory environment. The President and Compliance Officer are responsible for setting the tone regarding sales practices within the firm among all registered and unregistered staff. These standards must at least meet the thresholds established by WEIL, which are in turn based upon regulatory requirements. The Compliance Officer is required to have three (3) years or more of specifically related industry experience in the area that they will be supervising and licensure as required by WEIL and determined by WEIL's business mix. WEIL has a duty of utmost good faith to act solely in the best interests of each of our clients. Our clients entrust us with their funds, which in turn places a high standard on our conduct and integrity. Our fiduciary duty compels all employees and Affiliates to act with the utmost integrity in all of our dealings. This fiduciary duty is the core principle underlying this Code of Ethics and represents the expected basis of all of our dealings with our clients.

The WEIL Code of Ethics has been established to set forth the culture of ethics at WEIL and its affiliates and to prevent fraud by reinforcing the fiduciary principles that must govern the conduct of our firm. WEIL places client interests ahead of employees', requires employees to always act in the best interest of the client, governs employee activities to avoid actual or perceived conflicts of interest and prevents employees from taking advantage of their position in the firm and ensures that employees strictly adhere to all securities laws.

***Michael Hubbert***

Form ADV Part 2B  
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San Diego, CA 92130  
800-355-9345

Christopher Weil & Company, Inc.  
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This brochure supplement provides information about Michael Hubbert that supplements the Christopher Weil & Company, Inc. brochure. You should have received a copy of that brochure. Please contact Laura Sword at 858-724-6055 if you did not receive Christopher Weil & Company, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about Michael Hubbert is available on the SEC's website at:

[www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)  
<https://www.adviserinfo.sec.gov/Individual/4405338>

## Item 2 Educational Background and Business Experience

**Full Legal Name:** Michael Hubbert      **Born:** 1980

### Education

- Carnegie Mellon University, Tipper School of Business, Pittsburg, PA; BS, Business Administration, concentration in Finance; 2002

### Business Experience

- Christopher Weil & Company, Inc.; Portfolio Manager; from 11/2016 to present
- First New York Capital Management – Quad Capital Management; from 4/2008 to 10/2016

### Designations

Michael Hubbert has earned the following designation(s) and is in good standing with the granting authority:

- Certified Investment Management Analyst<sup>®</sup> certification (CIMA<sup>®</sup>); 2017  
The program is administered by the Investments & Wealth Institute and taught in conjunction with the Yale School of Management. The CIMA<sup>®</sup> certification signifies that an individual has met initial and ongoing experience, ethical, education, and examination requirements for investment management consulting, including advanced investment management theory and application. A CIMA<sup>®</sup> certificant must adhere to IMCA's Code of Professional Responsibility, Standards of Practice, and Rules and Guidelines for Use of the Marks. CIMA<sup>®</sup> designees must report 40 hours of CE credits, including two ethics hours, every two years to maintain the certification.

## Item 3 Disciplinary Information

Michael Hubbert has no reportable disciplinary history.

## Item 4 Other Business Activities

### A. Investment-Related Activities

Michael Hubbert is not engaged in any other investment-related activities and does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

### B. Non-Investment Related Activities

Michael Hubbert is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his time.

## Item 5 Additional Compensation

Michael Hubbert does not receive any economic benefit from a non-advisory client for the provision of advisory services.

## Item 6 Supervision

<b>Supervisor:</b>	John Wells	Laura Sword
<b>Title:</b>	President/CEO	CFO/Compliance Officer
<b>Phone Number:</b>	858-724-6052	858-724-6055

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***Tyler Hewes***

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San Diego, CA 92130

11/30/2022

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Additional information about Tyler Hewes is available on the SEC's website at:

[www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)  
<https://www.adviserinfo.sec.gov/Individual/6300901>

## Item 2 Educational Background and Business Experience

**Full Legal Name:** Tyler Hewes

**Born:** 1980

### Education

- Eastern Connecticut State University; BA, Fine Arts – Theatre; 2002

### Business Experience

- Christopher Weil & Company, Inc.; Financial Advisor; from 1/2014 to present

### Professional Licenses

- Life Insurance Agent; State of California, Department of Insurance; 2014

## Item 3 Disciplinary Information

Tyler Hewes has no reportable disciplinary history.

## Item 4 Other Business Activities

### A. Investment-Related Activities

Tyler Hewes is also engaged in the following investment-related activities:

#### **Insurance company or agent**

Tyler Hewes is a licensed Life Insurance Agent; State of California, Department of Insurance. Licensing as an insurance representative allows Tyler Hewes to offer various insurance products such as life insurance and long term care insurance. The ability to offer these products to clients allows WEIL and Tyler Hewes a much more robust suite of products thereby providing the client with a more comprehensive financial plan.

As an agent, Tyler Hewes is entitled to commissions on the sale of insurance products.

100% of these commissions are assigned to WEIL. Tyler Hewes receives no personal benefit from these commissions apart from his salary as an employee of WEIL. Generally, the commissions can range from less than 55% to more than 100% of the first year's premium which is shared with the unrelated general agent placing the insurance on behalf of the client, to smaller amounts, depending on the product.

Usually, the agent may also receive annual trailing commissions when the owner of the insurance product pays periodic premiums. Clients, however, are not under any obligation to engage Tyler Hewes when considering implementation of advisory recommendations. The implementation of any or all of these or other recommendations is solely at the discretion of the client.

Tyler Hewes does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

### B. Non-Investment Related Activities

Tyler Hewes is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his time.

## Item 5 Additional Compensation

Tyler Hewes does not receive any economic benefit from a non-advisory client for the provision of advisory services.

## Item 6 Supervision

<b>Supervisor:</b>	John Wells	Laura Sword
<b>Title:</b>	President/CEO	CFO/Compliance Officer
<b>Phone Number:</b>	858-724-6052	858-724-6055

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WEIL supervises its business conducted by registered persons and other qualified staff through its President, Compliance Officer and other registered principals or other qualified personnel who report to managers. The President and Compliance Officer are key members of the team and play a vital role in maintaining WEIL and Tyler Hewes's activities in a manner consistent with the regulatory and compliance standards that apply in this difficult regulatory environment. The President and Compliance Officer are responsible for setting the tone regarding sales practices within the firm among all registered and unregistered staff. These standards must at least meet the thresholds established by WEIL, which are in turn based upon regulatory requirements. The Compliance Officer is required to have three (3) years or more of specifically related industry experience in the area that they will be supervising and licensure as required by WEIL and determined by WEIL's business mix. WEIL has a duty of utmost good faith to act solely in the best interests of each of our clients. Our clients entrust us with their funds, which in turn places a high standard on our conduct and integrity. Our fiduciary duty compels all employees and Affiliates to act with the utmost integrity in all of our dealings. This fiduciary duty is the core principle underlying this Code of Ethics and represents the expected basis of all of our dealings with our clients.

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*Jon Strauss*

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Additional information about Jon Strauss is available on the SEC's website at:

[www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)  
<https://www.adviserinfo.sec.gov/Individual/6734938>

## Item 2 Educational Background and Business Experience

**Full Legal Name:** Jon Strauss                      **Born:** 1986

### Education

- Point Loma Nazarene University; BA, History; 2014

### Business Experience

- Christopher Weil & Company, Inc.; Financial Advisor; from 11/2016 to present

## Item 3 Disciplinary Information

Jon Strauss has no reportable disciplinary history.

## Item 4 Other Business Activities

### A. Investment-Related Activities

Jon Strauss is not engaged in other investment-related activities.

Jon Strauss does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

### B. Non-Investment Related Activities

Jon Strauss is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his time.

## Item 5 Additional Compensation

Jon Strauss does not receive any economic benefit from a non-advisory client for the provision of advisory services.

## Item 6 Supervision

<b>Supervisor:</b>	John Wells	Laura Sword
<b>Title:</b>	President/CEO	CFO/Compliance Officer
<b>Phone Number:</b>	858-724-6052	858-724-6055

WEIL depends on the ability of its employees and affiliates to provide quality services to clients in a manner that is ethical, fair, and equitable to all concerned. The responsibility to supervise its operations, in particular the activities of its employees is a common theme in SEC regulations as well as in our own policies and procedures. The statutes of individual states echo the regulators' concerns.

WEIL supervises its business conducted by registered persons and other qualified staff through its President, Compliance Officer and other registered principals or other qualified personnel who report to managers. The President and Compliance Officer are key members of the team and play a vital role in maintaining WEIL and Jon Strauss' activities in a manner consistent with the regulatory and compliance standards that apply in this difficult regulatory environment. The President and Compliance Officer are responsible for setting the tone regarding sales practices within the firm among all registered and unregistered staff. These standards must at least meet the thresholds established by WEIL, which are in turn based upon regulatory requirements.

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***Vianca Tabuena***

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This brochure supplement provides information about Vianca Tabuena that supplements the Christopher Weil & Company, Inc. brochure. You should have received a copy of that brochure. Please contact Laura Sword at 858-724-6055 if you did not receive Christopher Weil & Company, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about Vianca Tabuena is available on the SEC's website at:

[www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)  
<https://www.adviserinfo.sec.gov/Individual/7274659>

## Item 2 Educational Background and Business Experience

**Full Legal Name:** Vianca Tabuena      **Born:** 1998

### Education

- San Diego State University; BA, Economics; 2019

### Business Experience

- Christopher Weil & Company, Inc.; Financial Advisor; from 11/2021 to present
- Mariner Wealth Advisors; from 2020 to 2021

## Item 3 Disciplinary Information

Vianca Tabuena has no reportable disciplinary history.

## Item 4 Other Business Activities

### C. Investment-Related Activities

Vianca Tabuena is not engaged in other investment-related activities.

Vianca Tabuena does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

### D. Non-Investment Related Activities

Vianca Tabuena is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his time.

## Item 5 Additional Compensation

Vianca Tabuena does not receive any economic benefit from a non-advisory client for the provision of advisory services.

## Item 6 Supervision

<b>Supervisor:</b>	Jon Strauss	John Wells
<b>Title:</b>	Advisory Team Manager	President/CEO
<b>Phone Number:</b>	858-724-6049	858-724-6052

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