

**Bryan G. Ugalde**



FDP Wealth Management, LLC  
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This Brochure Supplement provides information about Bryan G. Ugalde, Chief Compliance Officer, which supplements the FDP Wealth Management, LLC (“FDP”) Form ADV Part 2A Brochure. Please inform Bryan G. Ugalde at the contact information listed above if you did not receive FDPWM’s Form ADV Part 2A Brochure or if you have any questions about the contents of this supplement.

Additional information about FDP and Bryan G. Ugalde is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) and FINRA’s website at [www.finra.org/brokercheck](http://www.finra.org/brokercheck)

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

Bryan G. Ugalde

Date of Birth: 3/14/1981

University of California, Berkeley:

- B.A. Political Economies of Industrial Societies

Examinations and Professional Designations

- Series 7 – General Securities Representative exam
- Series 24 – General Securities Principal exam
- Series 63 – Uniform Securities Agent State Law exam
- Series 66 – Uniform Combined State Law exam

Business Experience:

- 2010-Present Founding Member, FDP Wealth Management, LLC
- 2010-Present Chief Operating Officer, FDP Insurance Services/Prosperity Partners
- 2003-2010 Business Development Coordinator, Mark A. Chandik, Inc.

### **Disciplinary Information**

Registered Investment Advisers are required to disclose material facts regarding any investment related legal or disciplinary events, including issues involving criminal or civil actions, findings resulting from administrative proceeding before the SEC, a self-regulatory body or any other federal or state regulatory authority that would be material to your evaluation of each supervised person providing investment advice.

Bryan G. Ugalde has no disciplinary record that would impact a client's evaluation of the practice.

### **Other Business Activities**

Bryan G. Ugalde is a Registered Representative and Registered Principal of Valmark Securities, Inc., a broker dealer and member of the Financial Industry Regulatory Authority ("FINRA") and the Securities Investor Protection Corporation ("SIPC"); and also an insurance agent affiliated with Executive Insurance Agency, Inc. All of these entities are under common ownership, management and control of Valmark Financial Group and are separate from FDP Wealth Management, LLC. As a Registered Representative of Valmark Securities, Inc., Bryan will receive normal commissions associated with securities sales. Bryan will receive insurance commissions surrounding the sales of insurance products sold through Executive Insurance Agency, Inc.

Bryan G. Ugalde is the Chief Operating Officer of FDP Insurance Services, Inc DBA Prosperity Partners Private Wealth Management. Prosperity Partners Private Wealth Management is an independent financial and insurance services organization. Bryan is paid W-2 compensation for his position as Chief Operating Officer of Prosperity Partners Private Wealth Management. As owner, Bryan also shares in the firm's profits.

Bryan G. Ugalde is a limited partner of CA Brand Collective, LLC. CA Brand Collective, LLC is a private real estate and holding company involved in the ownership and rental of commercial real estate and land. As a limited partner Bryan shares in the capital profit and losses that the company experiences annually on a passive income basis.

Bryan G. Ugalde is a member of Irvine C&R, LLC. Irvine C&R, LLC is a real estate holding company involved in the ownership and rental of commercial real estate. As a member, Bryan shares in any net profits based on his ownership share percentage.

### **Additional Compensation**

There is no additional compensation awarded for providing advisory or financial planning and consulting services, such as sales awards, prizes or bonus payments.

### **Supervision**

Bryan G. Ugalde is the Chief Compliance Officer of FDP Wealth Management, LLC. He is competent and knowledgeable regarding the rules of the State of California and the Investment Advisers Act of 1940, and is empowered with full responsibility and authority to develop and enforce appropriate policies and procedures for the firm. Thus, the Chief Compliance Officer has a position of sufficient seniority and authority within the organization to compel others to adhere to the compliance policies and procedures.

Before accepting and implementing investment strategies recommended, the Chief Compliance Officer reviews and approves of the investment strategies. Accounts are reviewed periodically, usually at least annually by the independent adviser. The compliance team also periodically reviews accounts and strategies. These initial and ongoing reviews are under the direction of Chief Compliance Officer, Bryan Ugalde who may be reached at (949) 855-4337 x.11 to discuss questions or concerns in connection with the internal compliance program.

### **Requirements for State Registered Investment Advisers**

In addition to any events listed in the “Disciplinary Information” section, state Registered Investment Advisers are required to specifically address whether or not a supervised person has been involved in any of the events listed below, and disclose all material facts regarding the event:

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
  - a. an investment or an investment-related business or activity;
  - b. fraud, false statement(s), or omissions;
  - c. theft, embezzlement, or other wrongful taking of property;
  - d. bribery, forgery, counterfeiting, or extortion; or
  - e. dishonest, unfair, or unethical practices.
  
2. An award of otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
  - a. an investment or an investment-related business or activity;
  - b. fraud, false statement(s), or omissions;
  - c. theft, embezzlement, or other wrongful taking of property;
  - d. bribery, forgery, counterfeiting, or extortion; or
  - e. dishonest, unfair, or unethical practices.

Bryan G. Ugalde has not been involved with any of the events listed above.