

Form ADV Part 2A

Last Updated: March 11, 2024



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This brochure provides information about the qualifications and business practices of O'Connor Wealth Management, Inc. (O'Connor). If you have any questions about the contents of this brochure, please contact John V. O'Connor at (626) 386-5116 or info@oconnorwealthmgt.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.

Additional information about O'Connor Wealth Management, Inc. also is available on the SEC's website at www.adviserinfo.sec.gov.

O'Connor Wealth Management, Inc. is a Registered Investment Advisor in the State of California. Please note that registration does not imply a certain level of skill or training. The Disclosure Brochure provides information about O'Connor to assist you in determining whether to retain the Advisor.

Item 2. Material Changes Since Last Update

The firm has amended its Form ADV from the most recent filing on January 31, 2023 to amend the firm's assets under management as of its most recent fiscal year-end. Please see Item 4 for more details.

Annual Update

The Material Changes section of this brochure will be updated annually and/or when material changes occur since the previous release of O'Connor's Brochure. A summary of changes is necessary to inform clients of any substantive changes to O'Connor's policies, practices, or conflicts of interests so that they can determine whether to review the brochure in its entirety or to contact O'Connor with questions about the changes. Pursuant to SEC Rules, we will 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. We will further provide other ongoing disclosure information about material changes as necessary.

Full Brochure Available

Clients who would like to receive a complete copy of our Firm Brochure, please contact us by telephone at (626) 386-5116 or by fax (626) 683-3742, or by visiting our website www.oconnorwealthmgt.com

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Item 4. Advisory Business

O'Connor Wealth Management, Incorporated ("O'Connor") has been a registered investment adviser in California since January 11, 2010. O'Connor has always been an independent firm specializing in financial planning and the management of client portfolios. In that role, we provide objective and aligned investment strategies, asset allocation, risk management, implementation, and measurement. Our goal is to deliver a level of service that exceeds the needs and expectations of our clients.

Principal Owners

For the purpose of this section, O'Connor lists its principal owners as any person directly owning 25% or more of O'Connor as disclosed on Schedule A of Part 1A of Form ADV as of the date of the last update filing.

O'Connor's principal owners:

Name: **John V. O'Connor**
Education: Southwestern University School of Law, Los Angeles, CA; J.D.
Loyola Marymount University, Los Angeles, CA; B.B.A.

Mr. O'Connor is the founder of O'Connor Wealth Management, Inc. and has over 40 years of experience in the financial services industry. Prior to establishing O'Connor, he provided retirement and financial planning services for clients through independent brokerage firms.

He holds a Bachelor of Arts degree in Business Administration from Loyola Marymount University and a Juris Doctorate from Southwestern University School of Law.

Name: **Christopher P. de Lorimier**
Education: California Lutheran University, Thousand Oaks, CA; M.B.A.
University of California – Los Angeles, CA; B.A.

Mr. de Lorimier has been an Investment Advisor Representative with O'Connor since 2014.

He holds a Bachelor of Arts degree in Psychology from the University of California – Los Angeles and a Master of Business Administration specializing in Financial Planning from California Lutheran University.

Through O'Connor, they have created a financial services firm that delivers unbiased, fee-based (no commissions) advice to clients. They work with a variety of clients including business owners, school and healthcare employees, non-profit organizations, and individuals who are serious about creating a plan as a guide for their financial future and that of their families, and they believe that an educated client makes informed decisions. They welcome client questions and comments as an opportunity to further educate their clients while continuing to operate transparently and in the client's best interest.

O'Connor is not a publicly held company and no part of O'Connor is owned by an individual or company through subsidiaries or "intermediate subsidiaries."

Description of Advisory Services We Offer

O'Connor focuses on meeting the needs of clients. As a result, our service offerings reflect that focus and have grown to match our clients' evolving financial planning needs. Financial planning includes tax planning, insurance planning, retirement planning, estate planning and charitable giving. Financial planning services may include consultations and/or written financial plans, which includes analyzing your financial situation and recommending appropriate strategies and/or investments to achieve your financial goals.

When managing client portfolios, we will take into consideration the client's personal financial situation, which includes employment status, cash reserves, retirement account values, current age, anticipated retirement date and other sources of income as well as their personal tolerance for risk and volatility. With this

information, we will assist clients with developing an appropriate investment strategy. We will monitor and adjust the client portfolios in accordance with the agreed upon investment strategy through continued engagement with the client.

When we manage your accounts, we use only general securities (stocks & bonds), ETFs (Exchange Traded Funds), Mutual funds, government securities and options.

We tailor our advisory services to your individual needs. Our clients come from unique personal and financial backgrounds, and, to best serve them, we tailor our services to meet your needs through individual consultations to discover your individual goals, hopes and dreams. We then analyze your current investments and make suggestions on how to meet your individual hopes, goals, and dreams. Of course, you may impose personal restrictions on investing in certain securities, sector, or types of securities. It is your portfolio after all.

NOTE: All material conflicts of interest under CCR Section 260.238 (k) are disclosed regarding the investment advisor, its representatives or any of its employees, which could be reasonably expected to impair the rendering of unbiased and objective advice.

Wrap Fee Programs

O'Connor Wealth Management, Inc. does not currently participate in wrap-fee programs.

Assets Under Management

Asset as of December 31, 2023:

Regulatory Assets Under Management (RAUM)	
Non-Discretionary	<u>\$ 130,745,983</u>
Total RAUM	<u>\$ 130,745,983</u>

In addition to its reportable assets under management, the firm also provides advice upon approximately \$15 million in assets for retirement plan sponsors. These assets are not under the supervision of the firm and are therefore not included in the reportable assets under management figures noted above.

Item 5. Fees and Compensation

How We Are Compensated

We charge fees in accordance with the fee schedules in effect at that time; however, fees are subject to negotiation. Depending on the scope of engagement, the fee may either involve financial planning fees, managed money fees, or a combination of both. Each client's fee is set forth in the client's advisory agreement, and clients may select fees to be billed directly or deducted from their accounts.

Financial planning fees have a negotiable hourly rate of up to \$350/hour and are paid at the completion of the consultation. Written financial plan fees range from \$350 to \$2,800, depending on the complexity of your financial situation. If you change your mind, any prepaid fees will be refunded on a pro-rated basis.

Managed money fees have 2 components. The annual negotiable fee ranges from half of 1% to 2% depending on the size and complexity of your accounts being managed by our firm.

Our investment philosophy is consistent regardless of the size of the account(s) being managed. We generally customize our services based on each client's individual needs. We gear our advice on portfolio complexity and asset mix taking into consideration the investment objectives, the size of the assets, the governance structure, client domicile and the type of client.

Upon termination of O'Connor's services, O'Connor will assess a pro-rated fee for services rendered in accordance with the fee payment and termination provisions contained in the client contract.

Other Fees and Expenses

All fees paid to O'Connor for management services are separate and distinct from fees and expenses charged by the external money management firms who manage the client assets and by custodians which hold the accounts.

Item 6. Performance-Based Fees and Side-By-Side Management

Neither O'Connor nor any of its advisors accept performance-based fees – that is, fees based on a share of capital gains on or capital appreciation of the assets of a client.

Item 7. Types of Clients

O'Connor was founded on January 11, 2010 and is a state registered investment adviser firm in California specializing in financial planning and the management of client portfolios. In that role, we provide objective and aligned investment strategies, asset allocation, risk management, implementation, and measurement. Our goal is to deliver a level of service that exceeds the needs and expectations of our clients.

Most of our clients are individuals, families, or owners of small to mid-size businesses, and many of them are also high net worth individuals. We also assist businesses, trusts, estates, charities, and small pension and profit-sharing plans.

O'Connor does not impose any requirements on the minimum account size for opening or maintaining an account.

Item 8. Methods of Analysis, Investment Strategies and Risk of Loss

O'Connor's analysis methods may include fundamental analysis of macroeconomic and market factors, technical analysis, and the monitoring of investment cycles and trends.

Investing Involves Risk

As with most investment products, because investment portfolios include securities, investing in securities involves risk of loss that may stem from factors that include, but are not limited to, changes in economic and market conditions, inflation, geopolitical events and loss of key investment personnel. Portfolios will include investment in US and non-US securities, securities of small companies, emerging market securities that may have costs associated with turnover, transactions, as well as taxes. We do not engage in the frequent trading of securities as that can affect investment performance, particularly through increased brokerage and other transaction costs as well as taxes.

We complete fundamental security analyses of businesses, which involves analyzing a company's financial statements, its management and competitive advantages, and its competitors and markets. Fundamental analysis is performed on historical and present data, but with the goal of making financial forecasts including stock price evolution, projection of business performance, management evaluations and credit risks. While we do not perform technical security analysis, we may subscribe to services that do perform such analyses.

While we conduct comprehensive research on the underlying managers and their products, there is a risk that we were not informed of certain activity related to the recommended advisory firm or its personnel.

Item 9. Disciplinary Information

Disclosure Events

There are no disclosure events involving a criminal action in a domestic, foreign, or military court of competent jurisdiction in which O'Connor or its management personnel are involved.

Item 10. Other Financial Industry Activities and Affiliations

Broker/Dealer Affiliation

Neither O'Connor nor any of its management persons are registered, or have an application pending to register, as a broker-dealer or a registered representative of a broker-dealer. Neither O'Connor nor any of its management persons are registered, or have an application pending to register, as a futures commission merchant, commodity pool operator, a commodity trading advisor, or an associated person of the foregoing entities.

Disclosure of Material Conflicts

John V. O'Connor and Christopher P. de Lorimier are both licensed insurance agents in the State of California and can sell insurance products for sales commissions, but not variable products such as variable annuities. Annuity products offered to clients are non-commissioned (fee-based) products only. Accordingly, you should be aware that a conflict exists between your interests and our interests with regards to insurance, and you are under no obligation to act upon any of our recommendations. If you elect to act upon any of the recommendations, you are under no obligation to affect insurance transactions through us.

Item 11. Code of Ethics, Participation/Interest in *Client* Transactions and Personal Trading

Code of Ethics

O'Connor has adopted the following Code of Ethics in accordance with SEC rule 204A-1 or similar state rules:

- **Fiduciary Responsibility** - O'Connor and its staff shall exercise the highest standard of care in protecting and promoting the interests of its clients and will provide a written disclosure containing any conflicts of interest that may compromise their impartiality or independence. As a fiduciary, O'Connor shall not accept any referral fees or compensation that is contingent upon the purchase or sale of any financial product.
- **Integrity** - All professional services shall be rendered with the highest level of integrity.
- **Objectivity** - O'Connor and its staff shall provide advice that is objective and in the best interest of the client and without conflicts of interest.
- **Competence** - O'Connor and its staff shall maintain the necessary knowledge and skills to provide our clients with competent advice and services.
- **Fairness** - All professional services shall be performed by O'Connor and its staff in a manner that is fair and reasonable to its clients.
- **Confidentiality** - O'Connor and its staff shall maintain and safeguard all confidential client information in accordance with applicable laws.
- **Diligence** - O'Connor and its staff shall ensure the accuracy and completeness of records, information, and data collected, used and managed, and will take necessary steps to correct any discrepancies.
- **Regulatory Compliance** - O'Connor and its staff shall comply fully with appropriate laws and internal regulations.

O'Connor will provide a complete copy of its Code of Ethics to any client or prospective client upon request.

Participation / Interest in Client Transactions

O'Connor or its related persons may invest in the same securities (or related securities, e.g., warrants, options or futures) that O'Connor or its related persons recommend to clients. O'Connor and its related persons may recommend securities to clients or buy or sell securities for client accounts at or about the same time that Form ADV Part 2A for O'Connor Wealth Management, Inc

O'Connor or any of its related persons buy or sell the same securities for an O'Connor related person's own account. We do not allow "front running" (buying or selling before you) or buying or selling contemporaneously with you. Given that we are too small of investors to affect the market in widely held and publicly traded securities, we feel that there is just a small conflict of interest in owning the same securities as we recommend you. To address this, we will always disclose to you what we own and how much we own.

Item 12. Brokerage Practices

We currently utilize the following custodians: TradePMR, Fidelity Investments, Orion Portfolio Solutions, Nationwide Advisory, and Capital Group.

They are among the leading custodial institutions used by many advisory firms, and we have selected them based on:

- Costs
- Level of Skill and Service
- Reputation
- Dependability
- Compatibility with you

Research and Other Soft Dollar Benefits

O'Connor does not receive any research, products, services, or soft dollar benefits from investment managers or other third parties.

Brokerage for Client Referrals

In selecting or recommending broker-dealers, O'Connor does not consider whether the firm or a related person receives client referrals from a third party.

Directed Brokerage

O'Connor does not recommend, request or require that clients direct O'Connor to execute transactions through specified broker-dealer.

Item 13. Review of Accounts

Managed accounts are reviewed daily on an ongoing basis and financial planning accounts are reviewed on a quarterly basis. Overall investment management performance, market prospects, and individual client situations are considered in the review process. Triggering factors that may affect an account review could be any material change in a client's profile. All account reviews are conducted by the designated advisor responsible for each account with assistance and input from the supporting advisor at the firm. Accounts are also periodically reviewed by the Chief Compliance Officer. All clients are encouraged to conduct an annual review of their financial objectives, account performance, as well as other relevant factors. The nature and frequency of reports are determined by client's needs and the services provided.

Item 14. Client Referrals and Other Compensation

Economic Benefit from Non-Clients

None of the Supervised Persons listed above or below as part of this Brochure Supplement receive any Form ADV Part 2A for O'Connor Wealth Management, Inc

“economic benefit” as that term is defined (e.g., *sales awards and other prizes*) from a non-client for providing advisory services.

Direct/Indirect Compensation for Client Referrals

Neither O’Connor nor any of its related persons directly or indirectly compensate any person who is not an associated person for client referrals. While we are grateful when clients refer someone to us, we do not pay for client referrals.

Item 15. Custody

O’Connor does not maintain physical custody of client assets. Client assets are typically held by a qualified custodian pursuant to a separate custody agreement.

Clients receive account statements at least quarterly directly from their qualified custodian. Clients may also receive account statements from O’Connor. If clients do not receive statements at least quarterly from their qualified custodian in a timely manner, they should contact O’Connor immediately.

Fee Debiting Authority & Third-Party Standing Letters of Authorization

For some clients O’Connor maintains fee debiting authority and/or third-party Standing Letter of Authorization (SLOA) disbursement authority which both trigger differing levels of custody requirements. Although fee debiting authority is not required to be reported on Form ADV Part 1, Item 9, O’Connor is required to report client accounts of third-party SLOA disbursement authority under Form ADV Part 1, Item 9 and does so to the extent applicable.

To avoid the annual surprise exam requirements under the custody rule, O’Connor will exercise fee debiting authority only or third-party SLOA disbursement authority by complying with the following seven conditions for SLOAs as addressed in the Investment Adviser Association (“IAA”) No Action Letter and SEC’s subsequent response on February 21, 2017:

1. The client provides an instruction to the qualified custodian, in writing, that includes the client’s signature, the third party’s name, and either the third party’s address or the third party’s account number at a custodian to which the transfer should be directed;
2. The client authorizes the investment adviser, in writing, either on the qualified custodian’s form or separately, to direct transfers to the third party either on a specified schedule or from time to time;
3. The client’s qualified custodian performs appropriate verification of the instruction, such as a signature review or other method to verify the client’s authorization, and provides a transfer of funds notice to the client promptly after each transfer;
4. The client has the ability to terminate or change the instruction to the client’s qualified custodian;
5. The investment adviser has no authority or ability to designate or change the identity of the third party, the address, or any other information about the third party contained in the client’s instruction;
6. The investment adviser maintains records showing that the third party is not a related party of the investment adviser or located at the same address as the investment adviser; and
7. The client’s qualified custodian sends the client, in writing, an initial notice confirming the instruction and an annual notice reconfirming the instruction.

First-Party Disbursements

For first-party disbursements effected by a journal, check, or ACH, O’Connor will not be deemed to have custody. However, first-party disbursements via wire may constitute custody unless the destination account number (and other particulars) are included on the original authorization. If O’Connor does not currently maintain the destination account number on the original authorization, O’Connor will replace its authorization with a new compliant authorization form that includes the like-registration destination account details.

Item 16. Investment Discretion

The firm provides services solely on a non-discretionary basis. We are a firm built on relationships – not transactions. In a non-discretionary relationship, the firm leads the investment decision-making process with the client as the final decision-maker, whereas in a discretionary relationship, the firm makes the investment decisions. We do not make frequent trades in accounts, so it is not difficult to check with you before we make any changes to your current holdings in an account. The firm coordinates the construction of investment portfolios, conducts initial and ongoing investment and operational due diligence, and generally receives statements and other communications directly from account custodians.

Please refer to Item 4 - Advisory Business above for a more detailed description of O'Connor's investment advisory service.

Item 17. Voting Client Securities

O'Connor does not have the authority to vote client proxies and therefore is not required to take action or render advice with respect to voting of proxies solicited by or with respect to the issuers of securities in which assets of the clients account(s) may be invested from time to time. Clients will receive their proxies or other solicitations directly from their custodian or a transfer agent.

Item 18. Financial Information

Pre-Payment of Fees

O'Connor does not require or solicit prepayment of fees, six months or more in advance.

Custody Disclosure

Please see Custody section above for further details.

Bankruptcy Disclosure

O'Connor or its related persons have never been the subject of a bankruptcy petition.

Item 19. Requirements for State Registered Advisors

Other Business Activities

John V. O'Connor and Christopher P. de Lorimier sell insurance products for sales commissions (primarily term life insurance for existing advisory clients). That profession takes up less than 1% of their work week.

Christopher P. de Lorimier is also an Enrolled Agent as licensed by the Department of Treasury and is the sole owner of Crown City Tax Planning – a tax planning and tax return preparation firm. Some O'Connor clients have their tax returns prepared by Mr. de Lorimier under a separate engagement. This profession takes up less than 5% of his work week.

Arbitration and/or Civil or Administrative Proceedings

Neither John V. O'Connor nor Christopher P. de Lorimier have ever been involved in arbitration or any kind. Similarly, neither of them has been found liable in any civil, self-regulatory organization, or administrative proceeding of any kind.

Relationship with Issuer of Securities

Neither O'Connor nor either of its principals have any relationship with issuers of securities

Item 20. Privacy Policy

O'Connor Wealth Management, Inc. (O'Connor) is committed to safeguarding the confidential information of our clients. We hold all personal information provided to our firm in the strictest confidence. We consider it a privilege to work with our clients to help them meet their financial needs. We recognize that this is a privilege that comes with responsibility – a responsibility to maintain the confidentiality of the personal information that they share with us. We take this responsibility very seriously. Our commitment to security and privacy is backed by industry-leading encryption, authentication, and network integrity technologies, and is maintained and upgraded on an ongoing basis.

INTERNAL USE OF INFORMATION

To conduct regular business, we may collect nonpublic personal information from sources such as: information reported by our clients on applications or other forms they provide to us; or information about their transactions with other affiliates. As we share nonpublic information solely to service our client accounts, we do not disclose any nonpublic personal information about our clients, or former clients to anyone, except as permitted and/or required by law. O'Connor Advisors are bound by strict confidentiality standards and any misuse of client information will be grounds for disciplinary action up to and including termination. Furthermore, client information at O'Connor is made available only on a need-to-know basis.

NON-AFFILIATED THIRD PARTIES

At times, we may disclose nonpublic personal information to nonaffiliated third parties. We may share any of the information that we collect as described above. We may disclose nonpublic personal information about our client to non-affiliated third parties in order to maintain our client's account with financial service providers such as mortgage brokers, insurance companies, banks, attorneys, accountants, and actuary firms, only with a client's prior authorization; or Service providers that assist us with information system management, account reconciliation and report production services, and secure document destruction, retention, and storage to facilitate our normal business operations.

SUMMARY

O'Connor is committed to maintaining the confidentiality, integrity, and security of the personal information that is entrusted to us by our clients. Except as described above, O'Connor does not share client information. If information is requested by subpoena or investigation of fraudulent activity, etc. we are required by law to comply. We will not rent, sell, trade, or otherwise release or disclose any personal information about our clients. Any information that our clients provide to us is for O'Connor's use only. If our clients decide to close their account(s) or become an inactive client, we will adhere to these privacy policies and practices.

QUESTIONS

You do not need to call or do anything as result of this notice. It is meant to inform you of how we safeguard your nonpublic personal information. However, we welcome questions and comments about our privacy policy. Questions can be emailed to info@oconnorwealthmgt.com or call us at (626) 386-5116.

Form ADV 2B Brochure Supplement

This Brochure Supplement provides information about John V. O'Connor and Christopher P. de Lorimier that supplements the O'Connor Wealth Management, Inc.'s brochure. You should have received a copy of that brochure, and a copy can also be found on the firm's website, www.oconnorwealthmgt.com.

Please contact our Chief Executive Officer, John V. O'Connor or our Chief Operating Officer, Christopher P. de Lorimier at (626) 386-5116 or info@oconnorwealthmgt.com if you did not receive O'Connor's Disclosure Brochure or if you have any questions.

Offices for these individuals are located at the Monrovia address noted below.

Additional information about these individuals is available on the SEC's website: www.adviserinfo.sec.gov



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Education Background and Business Experience

John V. O'Connor, age 73, founded O'Connor Wealth Management in January 2010. Mr. O'Connor was previously associated with independent broker-dealers for over twenty years and has nearly forty years of experience in the financial services industry. He earned his BA in Business from Loyola Marymount University and obtained his J.D from Southwestern University School of Law.

Christopher P. de Lorimier, age 40, graduated from UCLA with a bachelor's degree in Psychology and earned his MBA specializing in Financial Planning from California Lutheran University. Mr. de Lorimier has been with O'Connor Wealth Management as an Investment Advisor Representative since 2014.

Disciplinary Information

We do not have any legal, financial, or other disciplinary items to report for John V. O'Connor or Christopher P. de Lorimier.

Other Business Activities

Christopher P. de Lorimier is also an Enrolled Agent as licensed by the Department of Treasury and is the sole owner of Crown City Tax Planning – a tax planning and tax return preparation firm. Some O'Connor clients have their tax returns prepared by Mr. de Lorimier under a separate engagement.

Additional Compensation

Neither O'Connor Wealth Management, Inc. nor any of its members receive additional compensation from third parties in connection with providing investment advice to clients.

Supervision

John V. O'Connor has the ultimate responsibility for the supervision of firm activities as well as the investment advice offered to clients. If you would like to contact John about his supervisory role, he can be reached at 626-386-5116 or joconnor@oconnorwealthmgt.com. John is also responsible for the implementation and administration of O'Connor's Compliance Program under regulatory requirements.

Arbitration and/or Civil or Administrative Proceedings

Neither John V. O'Connor nor Christopher P. de Lorimier have ever been involved in arbitration of any kind. Similarly, neither of them has been found liable in any civil, self-regulatory organization, or administrative proceeding of any kind.

Relationship with Issuer of Securities

Neither O'Connor nor either of its principals have any relationship with issuers of securities.