

Alan Goldfarb
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FORM ADV PART 2B
BROCHURE SUPPLEMENT

This brochure supplement provides information about Alan Goldfarb that supplements the Apella Capital, LLC (“Apella”) brochure. You should have received a copy of that brochure. Please contact Timothy Richards at 860-781-6550 if you did not receive the brochure or if you have any questions about the contents of this supplement.

Additional information about Alan Goldfarb (Individual CRD# 224200) is available on the SEC’s website at www.adviserinfo.sec.gov.

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Educational Background and Business Experience

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Alan Goldfarb

Year of Birth: 1941

Formal Education after High School:

- University of North Texas, MBA, Economics and Management
- Fairleigh Dickinson University, B.S., Engineering and Management

Business Background for the Previous Five Years:

- Mr. Goldfarb is registered as an Investment Adviser Representative of Apella.
- Mr. Goldfarb started with Apella in January 2020 and currently holds the position of Senior Financial Advisor. Prior to joining Apella, Mr. Goldfarb was an owner and Investment Advisor Representative of Bacon Financial Management, Inc., Dallas, Texas.

Mr. Goldfarb has over 40 years financial advisory experience. His background includes extensive experience in investments, employee benefits, and estate planning, coupled with leadership roles in professional and civic organizations. He has served as National Vice Chairman of Planned Giving for the American Hearsh Association. Prior experience includes: Director of Wealth Strategies at Weaver Wealth Management; President, Financial Strategies Advisory Corp.; Director, Financial Planning at Axa Advisors; Texas Region Regional Director, Financial Planning Services at Coopers & Lybrand; and Director, Financial Services MBA Program, University of Dallas, Graduate School of Management.

Certifications

- Mr. Goldfarb earned the **Certified Financial Planning designation, (“CFP®”).**

The **Certified Financial Planner™, CFP®** and federally registered CFP (marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by the Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 62,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

Education: Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor’s Degree from a regionally accredited United States college or university. CFP Board’s financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning.

Examination: Pass the comprehensive CFP® Certification Examination. The examination, administered in 10 hours over a two-day period, includes case studies and client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real world circumstances.

Experience: Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year).

Ethics: Agree to be bound by CFP Board's *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals. Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks. Renew an agreement to be bound by the *Standards of Professional Conduct*. The *Standards* prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

Continuing Education: Complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial planning field.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

Additional information regarding this designation is available by contacting the CFP Board at www.CFP.net.

- Mr. Goldfarb earned the **Accredited Investment Fiduciary designation, ("AIF®")**.

The **AIF® Designation** is a professional certification that demonstrates an advisor or other person serving as an investment fiduciary has met certain requirements to earn and maintain the credential. The purpose is to assure that those responsible for managing or advising on investor assets have a fundamental understanding of the principles of fiduciary duty, the standards of conduct for acting as a fiduciary, and a process for carrying out fiduciary responsibility.

Examination: Enroll in and complete AIF® Training that satisfies AIF training requirements. Pass the Examination. Satisfy the Code of Ethics and Conduct Standards.

Education and Experience: One of the following combinations of education, industry experience, and/or professional development is required to meet the experience requirement for the AIF® Designation. Relevant experience is that which has been accrued in a non-clerical role within the financial services (or a related) industry.

Minimum of two (2) years of relevant experience; a bachelor's degree (or higher); and a professional credential. Minimum of five (5) years of relevant experience; a bachelor's degree (or higher) or a professional credential. Minimum of eight (8) years of relevant experience.

Ethics: The Investment Advisor adheres to all applicable standards of conduct and code of ethics required by law, regulation, employers, and professional organizations.

Continuing Education: Six (6) hours per year. Satisfy the Code of Ethics and Conduct Standards.

Disciplinary Information

Form ADV Part 2B, Item 3

Apella is required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

Alan Goldfarb

No information is applicable to this item for Mr. Goldfarb.

- A. Mr. Goldfarb has never been subject to a criminal or civil action in a domestic, foreign or military court of competent jurisdiction in which the supervised person
1. was convicted of, or pled guilty or nolo contendere (“no contest”) to (a) any felony; (b) a misdemeanor that involved investments or an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses;
 2. is the named subject of a pending criminal proceeding that involves an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;
 3. was found to have been involved in a violation of an investment-related statute or regulation; or
 4. was the subject of any order, judgment, or decree permanently or temporarily enjoining, or otherwise limiting, the supervised person from engaging in any investment-related activity, or from violating any investment-related statute, rule, or order.
- B. Mr. Goldfarb has never been subject to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority in which the supervised person
1. was found to have caused an investment-related business to lose its authorization to do business; or
 2. was found to have been involved in a violation of an investment-related statute or regulation and was the subject of an order by the agency or authority
 - a) denying, suspending, or revoking the authorization of the supervised person to act in an investment-related business;
 - b) barring or suspending the supervised person's association with an investment-related business;
 - c) otherwise significantly limiting the supervised person's investment-related activities; or
 - d) imposing a civil money penalty of more than \$2,500 on the supervised person.
- C. Mr. Goldfarb has never been subject to a self-regulatory organization (SRO) proceeding in which the supervised person
1. was found to have caused an investment-related business to lose its authorization to do business; or
 2. was found to have been involved in a violation of the SRO's rules and was: (i) barred or suspended from membership or from association with other members, or was expelled from membership; (ii) otherwise significantly limited from investment-related activities; or (iii) fined more than \$2,500.

Form ADV Part 2B, Item 3

- D. Mr. Goldfarb has never been subject to any other proceeding in which a professional attainment, designation, or license of the supervised person was revoked or suspended because of a violation of rules relating to professional conduct.

Other Business Activities

Alan Goldfarb

Form ADV Part 2B, Item 4

- Mr. Goldfarb provides financial advisor services to Fuller Wealth Management, LLC and XO Wealth Management dba CMH Wealth Management.

Additional Compensation

Form ADV Part 2B, Item 5

Mr. Goldfarb receives income as part of his outside activities with Fuller Wealth Management, LLC and XO Wealth Management dba CMH Wealth Management.

Supervision

Form ADV Part 2B, Item 6

Mr. Goldfarb is an Investment Adviser Representative of Apella and subject to the firm's policies and procedures. Mr. Goldfarb is supervised by Joshua Pace, Chief Executive Officer at Apella. Mr. Pace can be reached at 415-717-2771.