



# Nicholas Ventimiglio

Associated person at:

Nicholas Ventimiglio, CDFIA, Inc.

2010 Crow Canyon Place #100

925-824-3191

03/15/16

**This Brochure Supplement provides information about Nicholas Ventimiglio that supplements the Nicholas Ventimiglio, CDFIA, Inc. Brochure. You should have received a copy of that Brochure. Please contact Nicholas Ventimiglio if you did not receive Nicholas Ventimiglio, CDFIA, Inc.'s Brochure or if you have any questions about the contents of this supplement.**

**Additional information about Nicholas Ventimiglio is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**



## **Item 2- Educational Background and Business Experience**

PRINCIPAL/EXECUTIVE OFFICER:

President: Nicholas Ventimiglio

Born: 9/9/1979

Education: Graduated from California Polytechnic State University, San Luis Obispo in 2002 with a Bachelor of Science degree in Business Administration with a concentration in Finance.

BUSINESS BACKGROUND:

President, Nicholas Ventimiglio, CDFA (2009-Present)

Registered Representative, Fortune Financial Services, Inc. (2016- Present)

Registered Representative, Investment Adviser Representative, First Allied Securities (2007-2016)

Financial Planning Executive, Kim Financial Advisors (2004-2007)

Registered Representative, Financial Telesis, Inc. (2004-2007)

Registered Representative, MML Investor Services, Inc. (2002-2004)

PROFESSIONAL DESIGNATIONS:

Certified Divorce Financial Analyst (2008- Present)

Actively pursuing Certified Financial Planner Designation

## **Item 3- Disciplinary Information**

Registered investment advisers are 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. No information is applicable to this Item.

## **Item 4- Other Business Activities**

Registered investment advisers are required to disclose all the business activities of each supervised person providing investment advice to ensure disclosure of any potential conflicts of interest.

Investment Property Owner at 8173 Tamarack RD, Dublin CA 94568

CA Licensed Insurance Broker, License # 0D81254

Past President of the Diablo View Rotary Club of Walnut Creek, CA



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

Registered investment advisers are required to disclose economic benefits including sales awards and other prizes given by someone who is not a client to any supervised person providing investment advice to ensure disclosure of any potential conflicts of interest. No information is applicable to this Item.

### **Item 6 - Supervision**

All investment advice provided by any supervised person affiliated with Nicholas Ventimiglio, CDFA, Inc. is reviewed at the time of the client engagement and subsequently reviewed at least biannually. During the review process, the supervised person and a supervisor working in the interest of Nicholas Ventimiglio, CDFA, Inc. will review the investment policy statement drafted for the client to ensure no changes have occurred with the client's financial circumstances which would materially alter the investment advice provided to the client. Additionally, all investment advice will be scrutinized during the review process to ensure strict adherence to the code of ethics standards of the firm. Specifically, the supervised person has the following duties:

- 1) The duty to have a reasonable, independent basis for the investment advice provided;
- 2) The duty to obtain the best execution for a client's transaction, where the client has requested assistance in execution of any advice given.
- 3) The duty to ensure that investment advice is suitable to meeting the client's individual objectives, needs and circumstances; and
- 4) A duty to be loyal to clients.
- 5) A duty to put clients' interests ahead of the interests of NVCDFA or its Supervised Persons.

### **Item 7- Requirements for State-Registered Advisers**

In addition to the events listed in Item 3, if the *supervised person* has been *involved* in one of the events listed below, it must be disclosed with this document.

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 or 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.

3. If the *supervised person* has been the subject of a bankruptcy petition, disclose that fact, the date the petition was first brought, and the current status.

**No information is applicable to this Item.**