

# RIVERCHASE



## WEALTH MANAGEMENT

**Form ADV Part 2B  
Individual Disclosure Brochure**

March 29, 2017

**Albert Everett Dean III**  
Personal CRD Number: 2768409  
Investment Advisor Representative

3419 Cross Timbers Road, Suite 105  
Flower Mound, Texas 75028  
Phone: (972)471-9013  
Email: [rett@riverchasewealth.com](mailto:rett@riverchasewealth.com)

This brochure supplement provides information about Albert Everett Dean III that supplements the Riverchase Wealth Management, LLC brochure. You should have received a copy of that brochure. Please contact Albert Everett Dean III, Managing Member if you did not receive the Riverchase Wealth Management, LLC brochure, or if you have any questions about the contents of this supplement.

Additional information about Albert Everett Dean III is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Registration does not imply a certain level of skill or training.

## Item 2: Educational Background and Business Experience

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Name: Albert Everett Dean III

Born: 1972

### Education Background and Professional Designations

#### Education:

BBA Finance, Texas A&M University – 1995

#### Designations:

##### **CFP® - Certified Financial Planner**

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by 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 (or its equivalent from a foreign 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); and
- 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:

- 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; and
- Ethics – 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.

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.

### **EA - Enrolled Agent**

Enrolled Agent Minimum Qualifications:

- Written Examination: You can become an enrolled agent by demonstrating special competence in tax matters by taking a written examination. This track requires that you:
  - Apply to take the Special Enrollment Examination (SEE);
  - Achieve passing scores on all parts of the SEE;
  - Apply for enrollment; and
  - Pass a background check to ensure that you have not engaged in any conduct that would justify the suspension or disbarment of an attorney, CPA, or enrolled agent from practice before the IRS.
- IRS Experience: You can become an enrolled agent by virtue of past service and technical experience with the IRS that qualifies you for enrollment. This track requires that you:
  - Possess the years of past service and technical experience specified in Circular 230;
  - Apply for enrollment; and
  - Pass a background check to ensure that you have not engaged in any conduct that would justify the suspension or disbarment of an attorney, CPA, or enrolled agent from practice before the IRS.

### **Business Background**

03/2011 – Present	Managing Member Riverchase Wealth Management, LLC
12/2011 – 11/2016	Managing Member Kelleher Dean Tax Advisors, LLC

06/2004 – 03/2011	Registered Representative H.D. Vest Investment Services
08/2007 – 03/2011	Advisory Representative H.D. Vest Advisory Services, Inc
04/2001 – 06/2004	Financial Advisor Quest Capital Management
04/2001 – 05/2004	Financial Adviser Raymond James Financial Services, Inc
03/1997 – 04/2001	Financial Planner H.D. Vest Investment Securities, Inc.

### **Item 3: Disciplinary Information**

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There are no legal or disciplinary events that are material to a client’s or prospective client’s evaluation of this advisory business.

### **Item 4: Other Business Activities**

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Albert Everett Dean III is not engaged in any investment-related business or occupation (other than this advisory firm).

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

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Other than salary, annual bonuses, regular bonuses, Albert Everett Dean III does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through Riverchase Wealth Management, LLC.

### **Item 6: Supervision**

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As a co-owner and representative of Riverchase Wealth Management, LLC, Albert Everett Dean III works closely with co-owner Sean Paul Kelleher to supervise all duties and activities of the firm. Albert Everett Dean III’s contact information is on the cover page of this disclosure document.

## Item 7: Requirements for State Registered Advisors

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*This disclosure is required by Texas securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

- A. Albert Everett Dean III has **NOT** been involved in any of the events listed below.
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.
- B. Albert Everett Dean III has **NOT** been the subject of a bankruptcy petition at any time.

# RIVERCHASE



## WEALTH MANAGEMENT

**Form ADV Part 2B  
Individual Disclosure Brochure**

March 29, 2017

**Sean Paul Kelleher**

Personal CRD Number: 2922697  
Investment Advisor Representative

3419 Cross Timbers Road, Suite 105  
Flower Mound, Texas 75028

Phone: (972)471-9013

Email: [sean@riverchasewealth.com](mailto:sean@riverchasewealth.com)

This brochure supplement provides information about Sean Paul Kelleher that supplements the Riverchase Wealth Management, LLC brochure. You should have received a copy of that brochure. Please contact Sean Paul Kelleher, Managing Member if you did not receive the Riverchase Wealth Management, LLC brochure, or if you have any questions about the contents of this supplement.

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## Item 2: Educational Background and Business Experience

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Name: Sean Paul Kelleher

Born: 1970

### Education Background and Professional Designations

#### Education:

BBA Business-Marketing, University of Texas at Arlington – 1992

#### Designations:

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03/2011 – Present	Managing Member Riverchase Wealth Management, LLC
12/2011 – 11/2016	Managing Member Kelleher Dean Tax Advisors, LLC



07/1997 – 03/2011

Financial Advisor  
H.D. Vest Investment Securities, Inc.

01/2005 – 10/2010

Financial Advisor  
H.D. Vest Advisory Services

### Item 3: Disciplinary Information

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### Item 4: Other Business Activities

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Sean Paul Kelleher is not engaged in any investment-related business or occupation (other than this advisory firm).

### Item 5: Additional Compensation

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Other than salary, annual bonuses, regular bonuses, Sean Paul Kelleher does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through Riverchase Wealth Management, LLC.

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    - 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.
- B. Sean Paul Kelleher has **NOT** been the subject of a bankruptcy petition at any time.