

Item 1 Cover Page

A.

Roy E. Williams

Prestige Wealth Management Group, LLC

Brochure Supplement

Dated: April 17, 2019

Contact: Roy E. Williams, Chief Compliance Officer

31 State Route 12

Flemington, New Jersey 08822

B.

This Brochure Supplement provides information about Roy E. Williams that supplements the Prestige Wealth Management Group, LLC Brochure; you should have received a copy of that Brochure. Please contact Roy E. Williams, Chief Compliance Officer, if you did *not* receive Prestige Wealth Management Group, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Roy E. Williams is available on the SEC's website at www.adviserinfo.sec.gov

Item 2 Education Background and Business Experience

Roy E. Williams was born in 1959. Mr. Williams graduated from Lycoming College in 1982, with a Bachelor of Arts degree in Business. Mr. Williams is the Founder and has been the President of Prestige Wealth Management Group, LLC since 1994. Mr. Williams is also the Founder and has been the President of Prestige Wealth Services Group, Inc. since 2013. Mr. Williams has also been a registered representative of Triad Advisors, LLC since 2011.

Mr. Williams has held the designation of Chartered Financial Consultant (ChFC®) since 1994. ChFC® is a financial planning designation for the insurance industry conferred by The American College. Candidates must meet education, experience, examination, and continuing ethical requirements. Candidates must have at least three years of experience in the financial industry, or an undergraduate or graduate degree from an accredited university and two years of experience in the financial industry. Candidates are required to take nine academic courses each followed by

an exam. The courses and exams cover topics in finance, investing, insurance, and estate planning.

Mr. Williams has held the designation of Chartered Life Underwriter (CLU®) since 1994. CLU® is a financial planning designation for the insurance industry conferred by The American College. Candidates must meet education, experience, examination, and continuing ethical requirements. Candidates must have at least three years of experience in the financial industry, or an undergraduate or graduate degree from an accredited university and two years of experience in the financial industry. Candidates are required to take eight academic courses each followed by an exam. The courses and exams cover topics in finance, investing, insurance, and estate planning.

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

- A. **Registered Representative of Triad Advisors, LLC.** Mr. Williams is a registered representative of Triad Advisors, LLC (“*Triad*”), an SEC Registered and FINRA member broker-dealer. Clients may choose to engage Mr. Williams in his individual capacity as a registered representative of *Triad*, to implement investment recommendations on a commission basis.
1. **Conflict of Interest.** The recommendation by Mr. Williams that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any commission products from Mr. Williams. Clients are reminded that they may purchase investment products recommended by Mr. Williams through other, non-affiliated broker dealers. **The Registrant’s Chief Compliance Officer, Roy E. Williams, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
 2. **Commissions.** In the event the client chooses to purchase investment products through *Triad*, brokerage commissions will be charged by *Triad* to effect securities transactions, a portion of which commissions shall be paid by *Triad* to Mr. Williams. The brokerage commissions charged by *Triad* may be higher or lower than those charged by other broker-dealers. The securities commission business conducted by Mr. Williams is separate and apart from Registrant’s investment management services discussed in the Registrant’s *Brochure*.

Other Investment Adviser Firm. Mr. Williams, also serves as the President and an investment adviser representative of Prestige Wealth Services Group, Inc. (“PWSG”), an affiliated SEC registered investment advisor firm. Mr. Williams may refer certain clients to PWSG for advisory services. The recommendation by Mr. Williams that a client engage the investment advisory services of PWSG presents a **conflict of interest**. Mr. Williams, the Registrant’s Principal, may receive a direct economic benefit from any such referral. No client is under any obligation to engage the services of PWSG. **The Registrant’s Chief Compliance Officer, Roy E. Williams, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

- B. **Licensed Insurance Agent.** Mr. Williams, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Williams to purchase insurance products on a commission basis. **Conflict of Interest:** The recommendation by Mr. Williams that a client purchase an insurance commission product presents a **conflict of interest**, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any insurance commission products from Mr. Williams. Clients are reminded that they may purchase insurance products recommended by Mr. Williams through other, non-affiliated insurance agents. **The Registrant’s Chief Compliance Officer, Roy E. Williams, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

Williams Family Make a Difference Foundation. Mr. Williams, established the Williams Family Make a Difference Foundation (the “Foundation”) in 2014. The Foundation was formed with the intent to fund various 501(c)3 charities. The Foundation may sponsor or co-sponsor events that certain of the Registrants clients may be invited to attend. No client is under any obligation to attend any event sponsored by or make a donation to the Foundation. **The Registrant’s Chief Compliance Officer, Roy E. Williams, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

Item 5 Additional Compensation

The supervised person’s annual compensation is based, in part, on the amount of assets under management that he introduces to the Registrant. Accordingly, the supervised has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client’s best interests.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act ("*Act*"). The Registrant's Chief Compliance Officer, Roy E. Williams, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Williams at (908) 782-0001.

Item 1 Cover Page

A.

John DeAngelo

Prestige Wealth Management Group, LLC

Brochure Supplement

Dated: April 17, 2019

Contact: Roy E. Williams, Chief Compliance Officer

31 State Route 12

Flemington, New Jersey 08822

B.

This Brochure Supplement provides information about John DeAngelo that supplements the Prestige Wealth Management Group, LLC Brochure; you should have received a copy of that Brochure. Please contact Roy E. Williams, Chief Compliance Officer, if you did *not* receive Prestige Wealth Management Group, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about John DeAngelo is available on the SEC's website at www.adviserinfo.sec.gov

Item 2 Education Background and Business Experience

John DeAngelo was born in 1969. Mr. DeAngelo graduated from Richard Stockton College in 1997, with a Bachelor of Science degree in Business Management and Finance. Mr. DeAngelo has been with Prestige Wealth Management Group, LLC since 2012 and is currently a Managing Director and Wealth Advisor. Mr. DeAngelo has also been with Prestige Wealth Services Group, Inc. since 2017 and is currently a Managing Director and Wealth Advisor. Mr. DeAngelo has also been a registered representative of Triad Advisors, LLC since 2012. From 2008 through 2012, Mr. DeAngelo was a Financial Representative with Merrill Lynch, Pierce, Fenner & Smith, Inc.

Mr. DeAngelo has been a CERTIFIED FINANCIAL PLANNER™ since 2004. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (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 83,000 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 6 hours, 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.

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

A. **Registered Representative of Triad Advisors, LLC.** Mr. DeAngelo is a registered representative of Triad Advisors, LLC (“*Triad*”), an SEC Registered and FINRA member broker-dealer. Clients may choose to engage Mr. DeAngelo in his individual capacity as a registered representative of *Triad*, to implement investment recommendations on a commission basis.

1. **Conflict of Interest.** The recommendation by Mr. DeAngelo that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any commission products from Mr. DeAngelo. Clients are reminded that they may purchase investment products recommended by Mr. DeAngelo through other, non-affiliated broker dealers. **The Registrant’s Chief Compliance Officer, Roy E. Williams, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
2. **Commissions.** In the event the client chooses to purchase investment products through *Triad*, brokerage commissions will be charged by *Triad* to effect securities transactions, a portion of which commissions shall be paid by *Triad* to Mr. DeAngelo. The brokerage commissions charged by *Triad* may be higher or lower than those charged by other broker-dealers. The securities commission business conducted by Mr. DeAngelo is separate and apart from Registrant’s investment management services discussed in the Registrant’s *Brochure*.

Other Investment Adviser Firm. Mr. DeAngelo, also serves as an investment adviser representative of Prestige Wealth Services Group, Inc. (“*PWSG*”), an affiliated SEC registered investment advisor firm. Mr. DeAngelo may refer certain clients to *PWSG* for advisory services. The recommendation by Mr. DeAngelo that a client engage the investment advisory services of *PWSG* presents a *conflict of interest*. Mr. DeAngelo, may receive a direct economic benefit from any such referral. No client is under any obligation to engage the services of *PWSG*. **The Registrant’s Chief Compliance Officer, Roy E. Williams, remains available to address**

any questions that a client or prospective client may have regarding the above conflict of interest.

- B. **Licensed Insurance Agent.** Mr. DeAngelo, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. DeAngelo to purchase insurance products on a commission basis. **Conflict of Interest:** The recommendation by Mr. DeAngelo that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. DeAngelo. Clients are reminded that they may purchase insurance products recommended by Mr. DeAngelo through other, non-affiliated insurance agents. **The Registrant's Compliance Officer, Roy E. Williams, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

Item 5 Additional Compensation

The supervised person's annual compensation is based, in part, on the amount of assets under management that he introduces to the Registrant. Accordingly, the supervised has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act ("*Act*"). The Registrant's Chief Compliance Officer, Roy E. Williams, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Williams at (908) 782-0001.

Item 1 Cover Page

A.

Alyssa Y. McMahon

Prestige Wealth Management Group, LLC

Brochure Supplement

Dated: April 17, 2019

Contact: Roy E. Williams, Chief Compliance Officer

31 State Route 12

Flemington, New Jersey 08822

B.

This Brochure Supplement provides information about Alyssa Y. McMahon that supplements the Prestige Wealth Management Group, LLC Brochure; you should have received a copy of that Brochure. Please contact Roy E. Williams, Chief Compliance Officer, if you did *not* receive Prestige Wealth Management Group, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Alyssa Y. McMahon is available on the SEC's website at www.adviserinfo.sec.gov

Item 2 Education Background and Business Experience

Alyssa Y. McMahon was born in 1980. Ms. McMahon graduated from Montclair State in 2002, with a Bachelor of Science degree in Finance and Management received her MBA from Rutgers School of Business. Ms. McMahon has been with Prestige Wealth Management Group, LLC and Prestige Wealth Services Group, Inc. since 2013 and is currently the Director of Financial Planning and Investment Operations. From 2005 through 2013, Ms. McMahon was a Financial Planner with American Economic Planning Group, Inc.

Ms. McMahon has been a CERTIFIED FINANCIAL PLANNER™ since 2008. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (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 83,000 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 6 hours, 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.

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

A. **Registered Representative of Triad Advisors, LLC.** Ms. McMahon is a registered representative of Triad Advisors, Inc. (“*Triad*”), an SEC Registered and FINRA member broker-dealer. Clients may choose to engage Ms. McMahon in her individual capacity as a registered representative of *Triad*, to implement investment recommendations on a commission basis.

1. **Conflict of Interest.** The recommendation by Ms. McMahon that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any commission products from Ms. McMahon. Clients are reminded that they may purchase investment products recommended by Ms. McMahon through other, non-affiliated broker dealers. **The Registrant’s Compliance Officer, Roy E. Williams, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
2. **Commissions.** In the event the client chooses to purchase investment products through *Triad*, brokerage commissions will be charged by *Triad* to effect securities transactions, a portion of which commissions shall be paid by *Triad* to Ms. McMahon. The brokerage commissions charged by *Triad* may be higher or lower than those charged by other broker-dealers. The securities commission business conducted by Ms. McMahon is separate and apart from Registrant’s investment management services discussed in the Registrant’s *Brochure*.

Other Investment Adviser Firm. Ms. McMahon, also serves as an investment adviser representative of Prestige Wealth Services Group, Inc. (“*PWSG*”), an affiliated SEC registered investment advisor firm. Ms. McMahon may refer certain clients to *PWSG* for advisory services. The recommendation by Ms. McMahon that a client engage the investment advisory services of *PWSG* presents a *conflict of interest*. Ms. McMahon, may receive a direct economic benefit from any such referral. No client is under any obligation to engage the services of *PWSG*. **The Registrant’s Chief Compliance Officer, Roy E. Williams, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

B. **Licensed Insurance Agent.** Ms. McMahon, in her individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Ms. McMahon to purchase insurance products on a commission basis. **Conflict of Interest:** The recommendation by Ms. McMahon that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend insurance products based on commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Ms. McMahon. Clients are reminded that they may purchase insurance products recommended by Ms. McMahon through other, non-affiliated insurance agents. **The Registrant's Compliance Officer, Roy E. Williams, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

Item 5 Additional Compensation

The supervised person's annual compensation is based, in part, on the amount of assets under management that she introduces to the Registrant. Accordingly, the supervised has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

Item 6 Supervision

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Item 1 Cover Page

A.

Mary E. Scrupski

Prestige Wealth Management Group, LLC

Brochure Supplement

Dated: April 17, 2019

Contact: Roy E. Williams, Chief Compliance Officer

31 State Route 12

Flemington, New Jersey 08822

B.

This Brochure Supplement provides information about Mary E. Scrupski that supplements the Prestige Wealth Management Group, LLC Brochure; you should have received a copy of that Brochure. Please contact Roy E. Williams, Chief Compliance Officer, if you did *not* receive Prestige Wealth Management Group, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Mary E. Scrupski is available on the SEC's website at www.adviserinfo.sec.gov

Item 2 Education Background and Business Experience

Mary E. Scrupski was born in 1956. Ms. Scrupski graduated from Rutgers University (Douglass College) in 1982 with a Bachelor of Arts degree in Philosophy and from Rutgers Law School (Newark) in 1988 with a J.D. degree. Ms. Scrupski has been the Director of Estate Planning with Prestige Wealth Management Group, LLC since December 2015. Ms. Scrupski is also the Owner of Mary E. Scrupski Attorney at Law.

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

- A. The supervised person is not actively engaged in any other investment-related businesses or occupations.
- B. **Licensed Attorney**. Mary E. Scrupski is licensed to practice law in the State of New Jersey and is the owner of Mary E. Scrupski Attorney at Law. Ms. Scrupski does not provide legal services to any clients of the Registrant. Registrant shall not receive any portion of any fee charged by Mary E. Scrupski Attorney at Law, referral or otherwise. It is expected that Ms. Scrupski, solely incidental to her practice as attorney, shall recommend the Registrant's services to certain of her clients. No client of Registrant is under any obligation to use the services of Mary E. Scrupski Attorney at Law.

Item 5 Additional Compensation

The supervised person's annual compensation is based, in part, on the amount of assets under management that she introduces to the Registrant. Accordingly, the supervised has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client's best interests.

Item 6 Supervision

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Item 1 Cover Page

A.

Paul R. Esposito

Prestige Wealth Management Group, LLC

Brochure Supplement

Dated: April 17, 2019

Contact: Roy E. Williams, Compliance Officer
31 State Route 12
Flemington, New Jersey 08822

B.

This Brochure Supplement provides information about Paul R. Esposito that supplements the Prestige Wealth Management Group, LLC Brochure; you should have received a copy of that Brochure. Please contact Roy E. Williams, Compliance Officer, if you did *not* receive Prestige Wealth Management Group, LLC’s Brochure or if you have any questions about the contents of this supplement.

Additional information about Paul R. Esposito is available on the SEC’s website at www.adviserinfo.sec.gov

Item 2 Education Background and Business Experience

Paul R. Esposito was born in 1981. Mr. Esposito graduated from St. Joseph’s University in May 2003, with a Bachelor of Science degree in Finance and Marketing. Mr. Esposito has been a Senior Portfolio Manager of Prestige Wealth Management Group, LLC and Prestige Wealth Services Group since March 2018. From October 2014 through March 2018, Mr. Esposito was a Portfolio Manager with Alliance Wealth Management Group. From March 2011 through October 2014, Mr. Esposito was a Portfolio Manager with Wells Fargo Trust.

Mr. Esposito has been a CERTIFIED FINANCIAL PLANNER™ since August 2007. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (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 83,000 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 6 hours, 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.

Mr. Esposito has been a CFA® Charter Holder since August 2014. CFA® designates an international professional certificate that is offered by the CFA Institute.

The Chartered Financial Analyst (CFA) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

There are currently more than 154,000 CFA charter holders working in 165 countries. To earn the CFA charter, candidates must: (1) pass three sequential, six-hour examinations; (2) have at least four years of qualified professional investment experience; (3) join CFA Institute as members; and (4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

High Ethical Standards

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charter holders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

Global Recognition

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA charterholders—often making the charter a prerequisite for employment. Additionally, regulatory bodies in 38 countries/territories recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 466 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

Comprehensive and Current Knowledge

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

- A. **Other Investment Adviser Firm.** Mr. Esposito also serves as a Senior Portfolio Manager of Prestige Wealth Services Group, Inc. (“PWSG”), an affiliated SEC registered investment advisor firm. Mr. Esposito may refer certain clients to PWSG for advisory services. The recommendation by Mr. Esposito that a client engage the investment advisory services of PWSG presents a **conflict of interest**. Mr. Esposito may receive a direct economic benefit from any such referral. No client is under any obligation to engage the services of PWSG. **The Registrant’s Chief Compliance Officer, Roy E. Williams, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

Item 5 Additional Compensation

None.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant’s policies and procedures manual. The primary purpose of the Registrant’s Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act (“Act”). The Registrant’s Compliance Officer, Roy E. Williams, is primarily responsible for the implementation of the Registrant’s policies and procedures and overseeing the activities of the Registrant’s supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Compliance Officer. Should a client have any questions regarding the Registrant’s supervision or compliance practices, please contact Mr. Williams at (908) 782-0001.

Item 1 Cover Page

A.

Nathaniel P. Hodgson

Prestige Wealth Management Group, LLC

Brochure Supplement

Dated: April 17, 2019

Contact: Roy E. Williams, Compliance Officer

31 State Route 12

Flemington, New Jersey 08822

B.

This Brochure Supplement provides information about Nathaniel P. Hodgson that supplements the Prestige Wealth Management Group, LLC Brochure; you should have received a copy of that Brochure. Please contact Roy E. Williams, Compliance Officer, if you did *not* receive Prestige Wealth Management Group, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Nathaniel P. Hodgson is available on the SEC's website at www.adviserinfo.sec.gov

Item 2 Education Background and Business Experience

Nathaniel P. Hodgson was born in 1984. Mr. Hodgson graduated from Metropolitan State University of Denver in 2013, with a Bachelor of Science degree in Financial Services. Mr. Hodgson has been a Client Services Associate of Prestige Wealth Management Group, LLC since August 2017. Mr. Hodgson has also been a registered representative of Triad Advisors, LLC since September 2017. From October 2015 through August 2017, Mr. Hodgson was a Quality Analyst with Applegate. From March 2014 through September 2015, Mr. Hodgson was a Trading and Operations Assistant with Ladenburg Thalmann.

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

- A. **Registered Representative of Triad Advisors, LLC.** Mr. Hodgson is a registered representative of Triad Advisors, LLC (“*Triad*”), an SEC Registered and FINRA member broker-dealer. Clients may choose to engage Mr. Hodgson in his individual capacity as a registered representative of *Triad*, to implement investment recommendations on a commission basis.
1. **Conflict of Interest.** The recommendation by Mr. Hodgson that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any commission products from Mr. Hodgson. Clients are reminded that they may purchase investment products recommended by Mr. Hodgson through other, non-affiliated broker dealers. **The Registrant’s Chief Compliance Officer, Roy E. Williams, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
 2. **Commissions.** In the event the client chooses to purchase investment products through *Triad*, brokerage commissions will be charged by *Triad* to effect securities transactions, a portion of which commissions shall be paid by *Triad* to Mr. Hodgson. The brokerage commissions charged by *Triad* may be higher or lower than those charged by other broker-dealers. The securities commission business conducted by Mr. Hodgson is separate and apart from Registrant’s investment management services discussed in the Registrant’s *Brochure*.
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

Item 5 Additional Compensation

None.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant’s policies and procedures manual. The primary purpose of the Registrant’s Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act (“*Act*”). The Registrant’s Compliance Officer, Roy E. Williams, is primarily responsible for the implementation of the Registrant’s policies and procedures and overseeing the activities of the Registrant’s supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Compliance Officer. Should a client have any questions

regarding the Registrant's supervision or compliance practices, please contact Mr. Williams at (908) 782-0001.

Item 1 Cover Page

A.

Michael L. Williams

Prestige Wealth Management Group, LLC

Brochure Supplement

Dated: April 17, 2019

Contact: Roy E. Williams, Compliance Officer

31 State Route 12

Flemington, New Jersey 08822

B.

This Brochure Supplement provides information about Michael L. Williams that supplements the Prestige Wealth Management Group, LLC Brochure; you should have received a copy of that Brochure. Please contact Roy E. Williams, Compliance Officer, if you did *not* receive Prestige Wealth Management Group, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Michael L. Williams is available on the SEC's website at www.adviserinfo.sec.gov

Item 2 Education Background and Business Experience

Michael L. Williams was born in 1985. Mr. Williams graduated from James Madison University in 2007 with a Bachelor of Business Administration degree in Finance. Mr. Williams has been a Wealth Advisor of Prestige Wealth Management Group, LLC and Prestige Wealth Services Group, LLC since September 2018. Mr. Williams has also been a registered representative of Triad Advisors, LLC since September 2018. From February 2011 through August 2018, Mr. Williams was an Underwriter with Wells Fargo.

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

A. **Registered Representative of Triad Advisors, LLC.** Mr. Williams is a registered representative of Triad Advisors, LLC (“*Triad*”), an SEC Registered and FINRA member broker-dealer. Clients may choose to engage Mr. Williams in his individual capacity as a registered representative of *Triad*, to implement investment recommendations on a commission basis.

1. **Conflict of Interest.** The recommendation by Mr. Williams that a client purchase a securities commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend investment products based on commissions to be received, rather than on a particular client’s need. No client is under any obligation to purchase any commission products from Mr. Williams. Clients are reminded that they may purchase investment products recommended by Mr. Williams through other, non-affiliated broker dealers. **The Registrant’s Chief Compliance Officer, Roy E. Williams, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
2. **Commissions.** In the event the client chooses to purchase investment products through *Triad*, brokerage commissions will be charged by *Triad* to effect securities transactions, a portion of which commissions shall be paid by *Triad* to Mr. Williams. The brokerage commissions charged by *Triad* may be higher or lower than those charged by other broker-dealers. The securities commission business conducted by Mr. Williams is separate and apart from Registrant’s investment management services discussed in the Registrant’s *Brochure*.

Other Investment Adviser Firm. Mr. Williams also serves as a Wealth Advisor of Prestige Wealth Services Group, Inc. (“*PWSG*”), an affiliated SEC registered investment advisor firm. Mr. Williams may refer certain clients to *PWSG* for advisory services. The recommendation by Mr. Williams that a client engage the investment advisory services of *PWSG* presents a *conflict of interest*. Mr. Williams may receive a direct economic benefit from any such referral. No client is under any obligation to engage the services of *PWSG*. **The Registrant’s Chief Compliance Officer, Roy E. Williams, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

B. **Licensed Insurance Agent.** Mr. Williams, in his individual capacity, is a licensed insurance agent, and may recommend the purchase of certain insurance-related products on a commission basis. Clients can engage Mr. Williams to purchase insurance products on a commission basis. **Conflict of Interest:** The recommendation by Mr. Williams that a client purchase an insurance commission product presents a *conflict of interest*, as the receipt of commissions may provide an incentive to recommend insurance products based on

commissions to be received, rather than on a particular client's need. No client is under any obligation to purchase any insurance commission products from Mr. Williams. Clients are reminded that they may purchase insurance products recommended by Mr. Williams through other, non-affiliated insurance agents. **The Registrant's Compliance Officer, Roy E. Williams, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

Item 5 Additional Compensation

None.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. The primary purpose of the Registrant's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act ("*Act*"). The Registrant's Compliance Officer, Roy E. Williams, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Williams at (908) 782-0001.