

Part 2B of Form ADV: *Brochure Supplement*

DBA:



Mark Andrew Doughty

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Spire Wealth Management

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This brochure supplement provides information about Mark Andrew Doughty that supplements the Spire Wealth Management, LLC brochure. You should have received a copy of that brochure. Please contact Spire Compliance at 703-657-6060 if you did not receive Spire Wealth Management, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Mark Andrew Doughty is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background and Business Experience

Full Legal Name: Mark Andrew Doughty

Born: 1977

Education:

- Penn State University; BS, Finance; 2003

Business Experience

- Spire Investment Partners; Wealth Manager; from 10/2018 to Present
- SunTrust Investment Services; Registered Representative; from 11/2017 to 7/2018
- TIAA; RR/Advisors; from 3/2013 to 11/2017
- PNC Bank; Registered Rep; from 10/2009 to 3/2013

Designations

Mark Andrew Doughty has earned the following designation(s) and is in good standing with the granting authority:

Certified Financial Planner™; Certified Financial Planner Board of Standards, Inc.; 2015 The program is administered by the Certified Financial Planner Board of Standards Inc. Those with the CFP® designation have demonstrated competency in all areas of finance related to financial planning. Candidates complete studies on over 100 topics, including stocks, bonds, taxes, insurance, retirement planning and estate planning. In addition to passing the CFP® certification exam, candidates must also complete qualifying work experience, agree to adhere to the CFP Board's code of ethics and professional responsibility and financial planning standards and complete 30 hours of continuing education every two years.

Item 3 Disciplinary Information

Mark Andrew Doughty has no reportable disciplinary history.

Item 4 Other Business Activities

A. Investment-Related Activities

Mark Andrew Doughty is also engaged in the following investment-related activities:

Registered representative of a broker-dealer

Advisor also carries the securities licenses required by FINRA (Financial Industry Regulatory Authority) to offer securities products and execute securities transactions separately from their registration as an Investment Advisor Representative providing investment advice. This additional licensing allows advisors a more robust suite of products to offer to their clients. Registration, supervision, and continuing education are all requirements for maintaining this type of registration.

Conflicts that may arise for holding this type of license would be in cross-selling. Such a conflict could be selling out of an advisory account and buying in a securities account and

thereby generating a commission for the representative. Other conflicts that could occur would be moving monies from an advisory account into a commission account to affect a commissionable trade.

The types of commissions that may be earned on these types of accounts/products could be any one of the following:

- Mutual Fund 12b-1 commissions
- Mutual Funds Trail Commissions
- Direct Product Sponsor Commissions

Other investment-related business

Licensed as an insurance representative allows the advisor to offer various insurance products such as Variable Annuities, Life Insurance, and Long-Term Care insurance. Typically, these products generate commission payments to the representatives selling the products. The ability to offer these products to clients allows the advisor a much more robust suite of products and thereby providing the client with a much more comprehensive financial plan.

B. Non-Investment-Related Activities

Mark Andrew Doughty is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his time.

Item 5 Additional Compensation

Mark Andrew Doughty does not receive any economic benefit from a non-advisory client for the provision of advisory services.

Item 6 Supervision

Supervisor: Emily Donaldson

Title: Designated Supervisor

Phone Number: 703-657-6074

In addition to an annual review of our Firm's policies and procedures, each advisor is supervised with the following ongoing review:

- a. Daily trade reviews
- b. Monthly review of personal securities accounts
- c. Monthly review of business bank statements of DBAs
- d. Monthly correspondence reviews - including ongoing capture and review of email
- e. Periodic reviews of client account activity.