

**Part 2B of Form ADV: *Brochure Supplement***

**DBA:**



**Yohanna Gorfu, CFP®**

7901 Jones Branch Drive, Suite 800, McLean, VA 22102

Phone | 703-748-5830

**Spire Wealth Management**

7901 Jones Branch Drive, Suite 800

McLean, VA 22102

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This brochure supplement provides information about Yohanna Gorfu 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 Yohanna Gorfu is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

**Full Legal Name:** Yohanna Gorfu

**Born:** 1972

**Education:** Marymount University, Master's in Business Administration, 1998.

Trinity Western Univ, Bachelor in Business Administration, Business, 1995.

Certified Financial Planner, CFP®, 1989 (Minimum Qualifications: Bachelor's Degree or higher, Three years of full-time personal financial planning experience, CFP Board Registered education program, final certification exam).

Registered Financial Consultant, RFC® The International Association of Registered Financial Consultants, 2008.

### Business Experience

Spire Wealth Advisors; Vice President, Wealth Manager, January 2024 to Present.

Spire Investment Partners, Registered Associate, March 1999 to December 2023.

## Item 3 Disciplinary Information

Yohanna Gorfu has no reportable disciplinary history.

## Item 4 Other Business Activities

### A. Investment-Related Activities

Yohanna Gorfu 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:

1. Mutual Fund 12b-1 commissions
2. Mutual Funds Trail Commissions
3. 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**

Yohanna Gorfu 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**

Yohanna Gorfu does not receive any economic benefit from a non-advisory client for the provision of advisory services.

## **Item 6 Supervision**

**Supervisor:** Andrew Baron

**Title:** Designated Supervisor

**Phone Number:** 703-657-6072

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.