

Robert "Nick" Fazio, CFA, CPA
Regent Peak Wealth Advisors LLC

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**FORM ADV PART 2B
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Robert N. Fazio that supplements the Regent Peak Wealth Advisors LLC brochure. You should have received a copy of that brochure. Contact us at 470-867-3550 if you did not receive Regent Peak Wealth Advisors LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Robert N. Fazio (CRD # 7561757) is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background and Business Experience

Robert "Nick" Fazio, CFA, CPA

Year of Birth: 1995

Formal Education After High School:

- Georgia Institute of Technology, BS Business Administration, 2018

Business Background:

- Regent Peak Wealth Advisors LLC, Associate Relationship Manager, 6/2023 - Present
- CI Brightworth Private Wealth, Investment Analyst, 8/2021 - 5/2023
- PricewaterhouseCoopers LLP, Senior Associate, 8/2018 - 8/2021

Certifications: **CFA®**, **CPA**

The Chartered Financial Analyst (CFA®) and Certification Mark (collectively, the "CFA marks") are professional certification marks granted in the United States and internationally 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 150,000 CFA charterholders working in more than 140 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 charterholders to:

- Place their clients' interests ahead of their own;
- Maintain independence and objectivity;
- Act with integrity;
- Maintain and improve their professional competence; and
- 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 over 30 countries and territories recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 125 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. To learn more about the CFA charter, visit www.cfainstitute.org.

Certified Public Accountant (CPA)

CPA's are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two year period or 120 hours over a three year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA's *Code of Professional Conduct* within their state accountancy laws or have created their own.

Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. Robert N. Fazio has no required disclosures under this item.

Item 4 Other Business Activities

Robert Fazio is not actively engaged in any other business or occupation (investment-related or otherwise) beyond his capacity as Associate Relationship Manager of Regent Peak Wealth Advisors LLC. Moreover, Mr. Fazio does not receive any commissions, bonuses or other compensation based on the sale of securities or other investment products.

Item 5 Additional Compensation

Robert N. Fazio does not receive any additional compensation beyond that received as an Associate Relationship Manager of Regent Peak Wealth Advisors LLC.

Item 6 Supervision

As the Chief Compliance Officer of Regent Peak Wealth Advisors LLC, Carmen Laster supervises the advisory activities of our firm. Carmen Laster can be reached at 470-867-3552.