# Item 1: Cover Page for Part 2B of Form ADV: Brochure Supplement February 2017

# Marvin Lynn Breach



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This brochure supplement provides information about Marvin Breach that supplements our brochure. You should have received a copy of that brochure. Please contact Tyler Simones, Managing Member and Chief Compliance Officer, if you did not receive our firm's brochure or if you have any questions about the contents of this supplement.

Additional information about Marvin Breach is available on the SEC's website at <a href="https://www.adviserinfo.sec.gov">www.adviserinfo.sec.gov</a>.

## Item 2: Educational Background & Business Experience

### **Marvin Lynn Breach**

Year of Birth: 1960

#### Formal Education:

• 1978 - 1981: Mt. Hood Community College; No Degree Obtained

#### **Business Background:**

02/2016 - Present Northwest Quadrant, LLC; Wealth Manager
04/1993 - Present LPL Financial LLC; Registered Representative

• 04/1993 – 02/2016 LPL Financial LLC; Investment Advisor Representative

#### **Professional Designations:**

- 2002: Chartered Mutual Fund Consultant (CMFC®)
- 1999: CRPC Chartered Retirement Planning Counselor
- 1994: CFP® CERTIFIED FINANCIAL PLANNER™

#### **Chartered Mutual Fund Consultant (CMFC®):**

The CMFC® designation is offered by the College for Financial Planning and obtained by completing 9 modules and a certification final examination. The CMFC® program was developed in conjunction with the Investment Company Institute and is the only mutual fund designation recognized in the financial services industry. The study program to become a CMFC® covers types and characteristics of open and closed-end funds, other packaged investment products, risk and return, asset allocation, selecting a mutual fund for a client, retirement planning and professional conduct. This designation requires 16 hours of continuing education every 2 years.

#### **CRPC - Chartered Retirement Planning Counselor:**

Mr. Breach has a professional designation, Chartered Retirement Planning Counselor (CRPC). The CRPC is offered by The College for Financial Planning®. The CRPC Program focuses on the pre- and post-retirement needs of individuals. Enrollment in the program guides you through the retirement process, addressing issues such as estate planning and asset management. The College for Financial Planning® awards the Chartered Retirement Planning Counselor<sup>SM</sup> and CRPC® designation to students who: successfully complete the program; pass the final examination; and comply with the Code of Ethics, which includes agreeing to abide by the Standards of Professional Conduct promulgated by The College for Financial Planning®.

Applicants must also disclose of any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct. Conferment of the designation is contingent upon the College for Financial Planning's review of matters either self-disclosed or which are discovered by the College that are required to be disclosed.

Successful students receive a certificate and are granted the right to use the designation on correspondence and business cards for a two-year period.

Continued use of the CRPC® designation is subject to ongoing renewal requirements. Every two years individuals must renew their right to continue using the CRPC® designation by: completing

16 hours of continuing education and reaffirming to abide by the Standards of Professional Conduct, Terms and Conditions, and self-disclose any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct.

## CFP® - CERTIFIED FINANCIAL PLANNER™:

CERTIFIED FINANCIAL PLANNER™ (CFP®) certification is obtained by completing an advanced college-level course of study addressing the financial planning subject areas that the CFP board's studies have determined as necessary for the competent and professional delivery of financial planning services, a comprehensive certification exam (administered in 10 hours over a 2 day period) and agreeing to be bound by the CFP board's standard of professional conduct. As a prerequisite the IAR must have a bachelor's degree from a regionally accredited United States college or university (or foreign university equivalent) and have at least 3 years of full time financial planning experience (or equivalent measured at 2,000 hours per year). This designation requires 30 hours of continuing education every 2 years and renewing an agreement to be bound by the standards of professional conduct.

## **Item 3: Disciplinary Information**

There are no legal or disciplinary events material to the evaluation of Mr. Breach.

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

If Marvin Breach is actively engaged in any investment-related business or occupation, including if Marvin Breach is registered, or has an application pending to register, as a broker-dealer, registered representative of a broker-dealer, futures commission merchant ("FCM"), commodity pool operator ("CPO"), commodity trading advisor ("CTA"), or an associated person of an FCM, CPO, or CTA, we are required to disclose this fact and describe the business relationship, if any, between the advisory business and the other business.

Mr. Breach is a licensed insurance agent and registered representative of LPL Financial LLC, member FINRA/SIPC. In such capacity, he may offer insurance products and securities and receive normal and customary commissions as a result of such transactions. A conflict of interest may arise as these commissionable sales may create an incentive to recommend products based on the compensation our firm and/or Mr. Breach may earn and may not necessarily be in the best interests of the client.

If Marvin Breach is actively engaged in any business or occupation for compensation not discussed in response to Item 4.A, above, and the other business activity or activities provide a substantial source of Marvin Breach's income or involve a substantial amount of Marvin Breach's time, we are required to disclose this fact and must describe the nature of that business. If the other business activities represent less than 10 percent of Marvin Breach's time and income, we may presume that they are not substantial.

We have nothing to disclose in this regard.

## **Item 5: Additional Compensation**

If someone who is not a client provides an economic benefit to Marvin Breach for providing advisory services, we are required to generally describe the arrangement.

We have nothing to disclose in this regard.

# Item 6: Supervision

Tyler Simones, Chief Compliance Officer of Northwest Quadrant, LLC supervises and monitors Mr. Breach's activities on a regular basis to ensure compliance with our firm's Code of Ethics. If you have any questions regarding this Brochure Supplement please contact Tyler Simones at (541) 388-9888.