



**Laura Carlson**

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October 2022

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

**This brochure supplement provides information about Laura Carlson that supplements the Apella Capital, LLC, DBA Apella Wealth (“Apella”) brochure. You should have received a copy of that brochure. Please contact Timothy Richards at 860-781-6550 if you did not receive the brochure or if you have any questions about the contents of this supplement.**

**Additional information about Laura Carlson is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). Her individual CRD number is 7526691.**

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## **Educational Background and Business Experience**

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### **Laura Carlson**

*Year of Birth:* 1986

*Formal Education after High School:*

- George Fox University; B.A. Accounting; B.A. Business Administration: International Business – 2009
- Golden Gate University – M.S., Taxation - 2011

*Business Background for the Previous Ten Years:*

- Ms. Carlson is registered as an Investment Adviser Representative with Apella. Ms. Carlson started with Apella in 2022 as a Tax Manager.
- Ms. Carlson is also an Investment Adviser Representative with NRSmith and Associates, PS. Prior to joining Apella, Ms. Carlson worked at the following financial institutions:
  - NRSmith and Associates, PS, 10/2011 - Present

*Certifications and Professional Designations:*

- Ms. Carlson earned the certification and license as a Certified Public Accountant (“CPA”) - 2020
- Ms. Carlson earned the Personal Financial Specialist (PFS) - 2021

**Certified Public Accountant** in Washington State is an individual who has met the education, experience, examination, and ethics requirements established by the Washington State Board of Accountancy and the American Institute of Certified Public Accountants. They are certified to provide a broad range of financial advisory and external accounting services for their clients such as assurance (audit), tax compliance and advisory, and estate planning. To maintain the Certified Public Accountant (CPA) license, the professional is required to complete 120 hours of continuing professional education (CPE) every three years, of which at least 20 hours must be completed annually.

**Personal Financial Specialist (PFS)** is an individual who has met the education, examination, experience, and ethics standards established by The American Institute of Certified Public Accountants (AICPA)®. To maintain the Personal Financial Specialist designation, the individual is required to complete 20 hours of continuing professional development annually as well as maintaining an active CPA license.

### **Disciplinary Information**

Form ADV Part 2B, Item 3

Apella is required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

#### **Laura Carlson**

No information is applicable to this item for Ms. Carlson.

- A. Ms. Carlson has never been subject to a criminal or civil action in a domestic, foreign or military court of competent jurisdiction in which the supervised person
1. was convicted of, or plead guilty or nolo contendere ("no contest") to (a) any felony; (b) a misdemeanor that involved investments or an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses;
  2. is the named subject of a pending criminal proceeding that involves an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;
  3. was found to have been involved in a violation of an investment-related statute or regulation; or
  4. was the subject of any order, judgment, or decree permanently or temporarily enjoining, or otherwise limiting, the supervised person from engaging in any investment-related activity, or from violating any investment-related statute, rule, or order.
- B. Ms. Carlson has never been subject to an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority in which the supervised person
1. was found to have caused an investment-related business to lose its authorization to do business; or
  2. was found to have been involved in a violation of an investment-related statute or regulation and was the subject of an order by the agency or authority
    - a) denying, suspending, or revoking the authorization of the supervised person to act in an investment-related business;
    - b) barring or suspending the supervised person's association with an investment-related business;
    - c) otherwise significantly limiting the supervised person's investment-related activities; or
    - d) imposing a civil money penalty of more than \$2,500 on the supervised person.
- C. Ms. Carlson has never been subject to a self-regulatory organization (SRO) proceeding in which the supervised person
1. was found to have caused an investment-related business to lose its authorization to do business; or
  2. was found to have been involved in a violation of the SRO's rules and was: (i) barred or suspended from membership or from association with other members, or was expelled from membership; (ii) otherwise significantly limited from investment-related activities; or (iii) fined more than \$2,500.

Form ADV Part 2B, Item 3

- D. Ms. Carlson has never been subject to any other proceeding in which a professional attainment, designation, or license of the supervised person was revoked or suspended because of a violation of rules relating to professional conduct.

***Other Business Activities***

**Laura Carlson**

Form ADV Part 2B, Item 4

- Ms. Carlson is not engaged in any other investment related business activities separate from Apella.

***Additional Compensation***

Form ADV Part 2B, Item 5

Ms. Carlson does not receive any additional compensation such as, but not limited to, sales awards, other prizes and from any other source outside of Apella.

***Supervision***

Form ADV Part 2B, Item 6

Ms. Carlson is supervised by James J. Scanlan, President at Apella. Mr. Scanlan can be reached at 401-829-0047.