



**Samuel Mark Atherton,
CFP®**

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**FORM ADV PART 2B
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Samuel Mark Atherton 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 Samuel Mark Atherton is available on the SEC’s website at www.adviserinfo.sec.gov. His individual CRD number is 4706300.

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Educational Background and Business Experience

Form ADV Part 2B, Item 2

Samuel Mark Atherton, CFP®

Year of Birth: 1961

Formal Education after High School:

- Virginia Polytechnic and State University – Bachelor of Science in Finance (1984)
- Georgetown University – Graduate Studies in Financial Planning (2003)

Business Background for the Previous Ten Years:

- Mr. Atherton is registered as an Investment Adviser Representative with Apella.
- Mr. Atherton started with Apella in April 2024 as a Regional Director. Prior to joining Apella, Mr. Atherton worked at the following financial institutions:
 - ClearLogic Financial, Inc., President (10/2004 – 4/2024)
 - Ticknor Financial, Inc., Principal Advisor and Financial Planner (3/2003 – 10/2004)
 - Litton PRC, Financial and Benefits Consulting, Consulting Director (01/1998 – 07/2003)
 - Sedgwick Insurance, Insurance & Benefit Consulting, Director Risk Management (02/1996 – 06/1998)
 - Allstate Insurance Company, Broker, Territory Manager (07/1984 – 01/1996)
 - Internal Revenue Service, Field Auditor (9/1982 – 9/1984)

Certifications and Professional Designations:

- Certified Financial Planner® (CFP) 2003

Certified Financial Planner and federally registered CFP (marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by the Certified Financial Planner Board of Standards, Inc. (“CFP Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 62,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

Education: Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board’s studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor’s Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board’s financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning.

Examination: Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one’s ability to correctly diagnose financial planning issues and apply one’s knowledge of financial planning to real world circumstances.

Experience: Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year).

Disciplinary Information

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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.

Samuel Mark Atherton

No information is applicable to this item for Mr. Atherton.

- A. Mr. Atherton 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. Mr. Atherton 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. Mr. Atherton 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. Mr. Atherton 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

Samuel Mark Atherton

Form ADV Part 2B, Item 4

- Mr. Atherton volunteers his time with Foundation for Financial Planning. Mr. Atherton provides pro bono financial planning for Cancer Program.

Additional Compensation

Form ADV Part 2B, Item 5

Mr. Atherton 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

Mr. Atherton is supervised by James J. Scanlan, President at Apella. Mr. Scanlan can be reached at 410-829-0047.