

**COMPASS WEALTH MANAGEMENT LLC  
10 WATER ST.  
GUILFORD CT 06437  
(203) 453-7000  
CompassWealthManagement.com**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

February 25

**This Brochure Supplement provides biographical information about certain Compass professionals. This information is in addition to the information contained in the brochure. Please contact Compass at (203) 453-7000 if you did not receive Compass' Brochure or if you have any questions about the contents of this Brochure Supplement. Additional information about Compass and the investment professionals affiliated with Compass is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).**

TABLE OF CONTENTS

**JASON W. BEAR**

EDUCATIONAL BACKGROUND	3
DISCIPLINARY INFORMATION	4
OTHER BUSINESS ACTIVITIES	5
ADDITIONAL COMPENSATION	5
SUPERVISION	6

**RADFORD BROGDEN**

EDUCATIONAL BACKGROUND	7
DISCIPLINARY INFORMATION	8
OTHER BUSINESS ACTIVITIES	9
ADDITIONAL COMPENSATION	9
SUPERVISION	10

**EMILY CLARE AMBROSE CAFASSO**

EDUCATIONAL BACKGROUND	11
DISCIPLINARY INFORMATION	12
OTHER BUSINESS ACTIVITIES	13
ADDITIONAL COMPENSATION	13
SUPERVISION	14

**WILLIAM L. MATTHES**

EDUCATIONAL BACKGROUND	15
DISCIPLINARY INFORMATION	16
OTHER BUSINESS ACTIVITIES	17
ADDITIONAL COMPENSATION	17
SUPERVISION	18

**CAROLYN A. MATTHES**

EDUCATIONAL BACKGROUND	19
DISCIPLINARY INFORMATION	20
OTHER BUSINESS ACTIVITIES	21
ADDITIONAL COMPENSATION	21
SUPERVISION	22

## Jason W. Bear

Form ADV Part 2B, Item 2

### ***Educational Background and Business Experience***

Jason W. Bear, CFA acquired Compass Asset Management from Mr. Matthes and Ms. Matthes in December 2019. Jason has worked at Compass since October 2015 in many roles including portfolio management, client relations, and marketing, and looks to continue servicing clients in these roles.

Jason spent the six years with the Royal Bank of Scotland and Mizuho Securities USA as Vice President in the fixed income and capital markets. In this role, Jason worked directly with CFOs and Treasurers of Fortune 500 companies developing comprehensive funding strategies to support business development and earnings growth. He covered a diverse set of corporate sectors including healthcare, energy and general industries. Jason brings a wealth of knowledge on relative value and fixed income investing.

Jason is a University of Michigan graduate, majoring in economics and US history. He is a native of Weston, CT and has a passion for health, wellness and nutrition.

B.A/Economics University of Michigan  
Chartered Financial Analyst designation 2014

**CFA**<sup>®</sup> – Chartered Financial Analyst<sup>®</sup> is issued by the CFA Institute. A Chartered Financial Analyst is a highly respected designation attained by an investment professional who has successfully completed all three parts of the CFA exam.

The CFA designation denotes that a person has a strong foundation of advanced investment analysis and real-world portfolio management skills. The CFA charter is one of the most respected designations in finance and is widely considered to be the gold standard in the field of investment analysis.

CFA designees must meet the following requirements for regular membership:

- Hold a bachelor's degree from an accredited institution or have equivalent education or work experience
- Complete and pass the CFA Program – a graduate-level self-study program culminating in three sequential six-hour exams
- Have at least 4 years of qualified work experience in the investment decision-making process
- Fulfill society requirements, which require two sponsor statements as part of each application
- Commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct
- Must be a regular member

## ***Disciplinary Information***

Form ADV Part 2B, Item 3

There are no legal or disciplinary events material to a client's or prospective client's evaluation of Jason W. Bear. He is not now and has never been subject to any of the offenses listed below.

A. 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 pled 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. 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. 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.
- D. Any other hearing or formal adjudication 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. If the supervised person resigned (or otherwise relinquished the attainment, designation, or license) in anticipation of such a hearing or formal adjudication (and the adviser knows, or should have known, of such resignation or relinquishment), disclose the event.

***Other Business Activities***

None.	Form ADV Part 2B, Item 4
-------	--------------------------

***Additional Compensation***

None.	Form ADV Part 2B, Item 5
-------	--------------------------

## ***Supervision***

Form ADV Part 2B, Item 6

Mr. Bear serves as the Chief Operating Officer as well as the Chief Compliance Officer of Compass Wealth Management. Mr. Bear's full contact information is included on the cover of this brochure.

## Radford Brogden

Form ADV Part 2B, Item 2

### ***Educational Background and Business Experience***

Radford Brogden was born in 1983.

Radford Brogden received a Bachelor of Arts degree from Purdue University. He received a Certificate of Financial Planning from Georgetown University. Radford has the Certified Financial Planner™ designation. Prior to working at Compass Wealth Management, Radford Brogden worked at RBC Wealth Management as a Senior Financial Planner from 2012-2020.

**CFP®** – CERTIFIED FINANCIAL PLANNER™ is issued by the Certified Financial Planner Board of Standards, Inc. CFP is a professional designation attained by a financial planner or advisor who has successfully completed the requirements set by the Certified Financial Planner Board.

The CFP designation that denotes a person is a competent, professional and ethical financial planner. CFP professionals must adhere to a code of ethics, which also requires every applicant to pass a background check before obtaining his or her designation.

Candidates must meet the following requirements:

- Complete CFP education program
- Bachelor's degree (or higher) from an accredited college or university
- Pass CFP certification exam
- 3 years of full-time personal financial planning experience
- Continuing education requirement of 30 hours every 2 years

## ***Disciplinary Information***

Form ADV Part 2B, Item 3

There are no legal or disciplinary events material to a client's or prospective client's evaluation of Radford Brogden. He is not now and has never been subject to any of the offenses listed below.

E. 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 pled 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.

F. 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.



- G. 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.
- H. Any other hearing or formal adjudication 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. If the supervised person resigned (or otherwise relinquished the attainment, designation, or license) in anticipation of such a hearing or formal adjudication (and the adviser knows, or should have known, of such resignation or relinquishment), disclose the event.

***Other Business Activities***

None.	Form ADV Part 2B, Item 4
-------	--------------------------

***Additional Compensation***

None.	Form ADV Part 2B, Item 5
-------	--------------------------

## ***Supervision***

Form ADV Part 2B, Item 6

Radford Brogden is supervised by Jason Bear, the owner and Chief Compliance Officer of Compass Wealth Management. Jason Bear reviews Radford's work through frequent office interactions as well as remote interaction. Jason Bear also reviews Radford's activities through our client management system. Radford Brogden's full contact information is included on the cover of this brochure.

**Emily Clare A. Cafasso**

Form ADV Part 2B, Item 2

***Educational Background and Business Experience***

Emily Clare A. Cafasso was born in 1981.

Emily Clare Cafasso joins Compass Wealth Management as a Wealth Advisor, bringing 15 years of experience to the firm. She works with clients to understand their comprehensive financial picture; their needs and goals, and helps develop and execute a unique plan for each client. Emily Clare will focus on holistic wealth management, furthering the development of our planning strategies, service offerings, and day-to-day client experience. She brings with her a “client first” attitude and unparalleled attention to detail.

Prior to joining Compass, Emily Clare worked at Coastal Bridge Advisors where she served High & Ultra-High Net Worth clients in various roles. After working as an elementary school teacher, she transitioned to the financial world as an intern, working her way up to a lead client Advisor. In her role as Director of Advisory Services she advised families in areas such as financial planning, investment management, complex trust and estate planning, and other various family office services.

Emily Clare is a 2005 graduate of the University of Michigan – Ann Arbor where she graduated as an NCAA Academic All-American.

## ***Disciplinary Information***

Form ADV Part 2B, Item 3

There are no legal or disciplinary events material to a client's or prospective client's evaluation of Emily Clare Cafasso. She is not now and has never been subject to any of the offenses listed below.

- I. 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 pled 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.
- J. 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.

- K. 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.
- L. Any other hearing or formal adjudication 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. If the supervised person resigned (or otherwise relinquished the attainment, designation, or license) in anticipation of such a hearing or formal adjudication (and the adviser knows, or should have known, of such resignation or relinquishment), disclose the event.

***Other Business Activities***

None.	Form ADV Part 2B, Item 4
-------	--------------------------

***Additional Compensation***

None.	Form ADV Part 2B, Item 5
-------	--------------------------

## ***Supervision***

Form ADV Part 2B, Item 6

Emily Clare Cafasso is supervised by Jason Bear, the owner and Chief Compliance Officer of Compass Wealth Management. Jason Bear reviews Emily Clare's work through frequent office interactions as well as remote interaction. Jason Bear also reviews Emily Clare's activities through our client management system. Emily Clare's full contact information is included on the cover of this brochure.

## William L. Matthes

Form ADV Part 2B, Item 2

### ***Educational Background and Business Experience***

William L. Matthes is the co-founder and Senior Portfolio Manager at Compass Wealth Management, LLC. Mr. Matthes emphasizes value and diversification: value because the market offers the patient investor the opportunity to buy assets at significant discounts and realize superior returns; diversification because it is the best way to control risk without diminishing performance.

This approach leads to tax efficient portfolios with limited turnover and predictable returns. Mr. Matthes has extensive experience providing brokerage and investment advisory services to a select group of private wealth individuals and pension plans. He manages portfolios for clients whose investment objectives include growth, preservation of capital and income.

Prior to founding Compass Asset Management, LLC, Mr. Matthes began his career in financial services in 1982 when he joined the Greenwich, CT office of Dean Witter Reynolds. He was promoted to Vice President and became manager of the New Haven office. In 1992, he moved to Paine Webber as Senior Portfolio Manager in their Managed Account Program. A 1969 graduate of the University of Virginia with a B.A. degree in Economics, Mr. Matthes did graduate studies in Sociology and Business administration with a concentration in Finance.

B. A./Economics University of Virginia

Post Graduate Studies:

Sociology, Northeastern University

Business Administration, Finance University of Bridgeport

## ***Disciplinary Information***

Form ADV Part 2B, Item 3

There are no legal or disciplinary events material to a client's or prospective client's evaluation of William L. Matthes. He is not now and has never been subject to any of the offenses listed below.

- M. 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 pled 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.
- N. 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.
- O. 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.

P. Any other hearing or formal adjudication 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. If the supervised person resigned (or otherwise relinquished the attainment, designation, or license) in anticipation of such a hearing or formal adjudication (and the adviser knows, or should have known, of such resignation or relinquishment), disclose the event.

***Other Business Activities***

None.	Form ADV Part 2B, Item 4
-------	--------------------------

***Additional Compensation***

None.	Form ADV Part 2B, Item 5
-------	--------------------------

### ***Supervision***

Form ADV Part 2B, Item 6

Mr. Matthes assists with portfolio management, conducts client communications and is supervised by Jason Bear, COO and CCO. Mr. Matthes' full contact information is included on the cover of this brochure.

**Carolyn A. Matthes**

Form ADV Part 2B, Item 2

***Educational Background and Business Experience***

Carolyn A. Matthes is the co-founder and Senior Portfolio Manager at Compass Wealth Management, LLC. She is also a senior marketing and management executive of the company.

Ms. Matthes attended Albertus Magnus College, and The Ohio State University and holds a B.S. in Finance, Cum Laude. Prior to co-founding Compass, Ms. Matthes began her career at Kidder, Peabody and Co. in 1985, and later became a Vice-President of Investments at PaineWebber, Inc. in the prestigious Preferred Portfolio Management Program. She and Mr. Matthes founded Compass in 1997.

B.S./Finance – cum laude  
Ohio State University  
Albertus Magnus College

Post Graduate Studies:  
Emory University – CFP course study

## ***Disciplinary Information***

Form ADV Part 2B, Item 3

There are no legal or disciplinary events material to a client's or prospective client's evaluation of Carolyn A. Matthes. He is not now and has never been subject to any of the offenses listed below.

- Q. 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 pled 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.
- R. 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.
- S. 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.

T. Any other hearing or formal adjudication 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. If the supervised person resigned (or otherwise relinquished the attainment, designation, or license) in anticipation of such a hearing or formal adjudication (and the adviser knows, or should have known, of such resignation or relinquishment), disclose the event.

U.

### ***Other Business Activities***

None.	Form ADV Part 2B, Item 4
-------	--------------------------

### ***Additional Compensation***

None.	Form ADV Part 2B, Item 5
-------	--------------------------

## ***Supervision***

Form ADV Part 2B, Item 6

Ms. Matthes assists with portfolio management, conducts client communications and is supervised by Jason Bear, COO and CCO. Ms. Matthes' full contact information is included on the cover of this brochure.