



FIRM BROCHURE AND BROCHURE SUPPLEMENT

PRINCIPLE WEALTH PARTNERS LLC

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This brochure provides information about the qualifications and business practices of Principle Wealth Partners LLC. If you have any questions about the contents of this brochure, please contact Robert S. Paolucci by telephone at 203.318.8482 or by electronic mail at rsp@principlewealthpartners.com. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Additional information about Principle Wealth Partners LLC is available on the website maintained by the Securities and Exchange Commission at www.adviserinfo.sec.gov.

November 2017

Material Changes

Material Changes Since Last Annual Amendment

This version of the firm brochure and brochure supplement updates assets under management.

Full Brochure Available

If at any time you would like to receive a copy of the current firm brochure, please contact Robert S. Paolucci by telephone at 203.318.8482 or by electronic mail at rsp@principlewealthpartners.com.

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Advisory Business

Firm Description

Principle Wealth Partners LLC (PWP) was organized as a limited liability company under the laws of the State of Connecticut in 2017 and has offices in Madison, Connecticut. PWP has recently registered as an investment advisor with the United States Securities and Exchange Commission (the SEC). Registration does not imply a certain level of skill or training.

Principal Owners

Robert S. Paolucci is the owner of PWP.

Types of Advisory Services

PWP furnishes portfolio management, financial planning, and financial consulting to individuals, families, businesses, retirement plans, and nonprofit organizations. PWP services include the management of equity and fixed-income portfolios, as well as other specialty investment portfolios. PWP generally manages the assets of its clients on a fully discretionary basis.

PWP performs a significant portion of its advisory services pursuant to a subadvisory agreement with Essex Financial Services, Inc., an SEC-registered investment advisor and broker-dealer. PWP financial advisors were employed by or associated with Essex prior to recently having become employed by or associated with PWP. Some client accounts for which PWP serves as subadvisor may be non-discretionary.

Tailored Relationships

PWP tailors its investment advice to the particular needs, investment objectives, and investment guidelines of each of its clients. Clients may impose restrictions on investing in particular securities or types of securities.

Assets Under Management

As of October 31, 2017, PWP had approximately \$581,400,000 in assets under management. Of this amount, PWP managed approximately \$357,200,000 on a discretionary basis and approximately \$224,200,000 on a non-discretionary basis.

Fees and Compensation

Calculation of Fees

PWP offers portfolio management, financial planning, and financial consulting at the fee level specified below:

\$500,000 to \$1,000,000	1.00% per year
Next \$2,000,000	0.85% per year
Next \$2,000,000	0.75% per year
Next \$5,000,000	0.65% per year
Over \$10,000,000	As agreed between PWP and the client

Fees are charged quarterly in advance, and in general fees are directly debited from client accounts. A client may choose to be billed for fees rather than to have fees directly debited.

Fees may be negotiated based on the size and type of investments involved. A variance in fees may be appropriate in cases in which a client requests a special account structure or has atypical objectives. PWP may have the flexibility to change, reduce, or waive its fees.

Fees are computed based on the market value of the assets (including cash) in the account or, in the absence of a readily ascertainable market value, based on a good-faith determination of the fair value of the account assets. Accounts may hold cash for strategic and other purposes.

Client agreements for managed accounts generally permit either the client to terminate the investment advisory relationship at any time. Termination becomes effective ten business days later, although no new securities transactions will be initiated after a termination. If a relationship terminates, any unearned fees previously paid are refunded based on the number of calendar days remaining after the termination date in the period as to which fees have been prepaid.

PWP provides financial planning services upon client request. PWP does not charge an additional hourly or fixed fee when a client requests financial planning services.

Brokerage and Other Fees

The fees for PWP services do not include:

- The costs, charges, or commissions of broker-dealers and account custodians associated with securities transactions;

- The advisory or management fee paid by a mutual fund or an exchange-traded fund (ETF) to the investment advisor of the fund or its affiliate; or

- Other fees and expenses paid directly from a mutual fund or an ETF out of its assets, such as rule 12b-1 distribution fees.

Consequently, a client may pay a management fee for PWP services and another advisory fee indirectly to the portfolio manager of one or more mutual funds or ETFs. PWP does not reduce its advisory fee to offset any of the additional expenses described above. There is additional information about costs associated with securities transactions in the section of this brochure entitled "Brokerage Practices."

Clients have the option to purchase investment products that are recommended by PWP through broker-dealers or agent that are not affiliated by PWP, but PWP would not supervise the investment of assets that are not purchased in PWP client accounts.

Conflicts of Interest

Some supervised persons of PWP may accept compensation for the sale of securities or other investment products, including asset-based sales charges or service fees from the sale of mutual funds, as a result of their being registered representatives of a broker-dealer. This practice presents a conflict of interest and gives these supervised persons an incentive to recommend investment products based on the compensation received, rather than on the needs of PWP clients. PWP addresses this conflict of interest by this disclosure and by informing clients in advance when a supervised person first becomes entitled to this compensation. The compensation that supervised persons of PWP will receive from asset-based sales charges and service fees is small in comparison to the revenue that PWP expects to earn from investment advisory fees.

Performance-Based Fees and Side-by-Side Management

This item is not applicable.

Types of Clients

Description

PWP furnishes portfolio management, financial planning, and financial consulting to individuals, families, businesses, retirement plans, and nonprofit organizations.

Minimum Account Size

PWP generally requires a minimum of \$500,000 for new managed accounts. PWP reserves the right to increase or decrease the minimum account size that it accepts.

Know Your Customer

It is PWP policy to know and understand the identities of clients and prospective clients and the business reasons for any transactions in which PWP engages on behalf of its clients. PWP does not directly or indirectly conduct business with any person or entity whose identity and source of funds have not been verified to the satisfaction of the account custodian.

Methods of Analysis, Investment Strategies, and Risk of Loss

Investment Strategies

PWP seeks to generate long-term capital appreciation or stable income, or both. Both specific security selection and asset allocation are important considerations.

PWP portfolio construction includes the objective of issuer and industry diversification. Generally, clients authorize PWP to invest their accounts primarily in publicly traded securities, convertible securities, and shares of mutual funds and ETFs. The securities held in client accounts may include, among other things, common stock, preferred stock, partnership interests, limited liability company interests, and fixed-income securities.

Fundamental Method of Analysis

PWP conducts proprietary fundamental research to develop an understanding of a business and its position within its industry. In this process, PWP analyzes company filings and communicates with company management and industry analysts. Portfolio holdings are continuously monitored to seek to ensure that the initial rationale for investment remains. If it is determined that the initial reason for investment is no longer valid, PWP may sell a holding. A portfolio holding may also be sold if the valuation exceeds a target, if valuation appears inconsistent with industry peers, or if other investments with higher expected returns become available.

Sources of Information

The main sources of information used by PWP include financial publications, inspections of corporate activities, research materials prepared by others, corporate rating services, annual reports, prospectuses, filings with the SEC, and company press releases.

PWP uses information, reports, and data from various sources, but the investment decisions that PWP makes on behalf of its clients are based primarily on its own internal research and analysis, as well as the experience of its personnel. PWP may obtain advice from financial analysts, lawyers, accountants, and other experts to assist in its investment analysis. In addition, PWP may obtain research information from third parties, including published reports of companies and other issuers, general economic data, and governmental publications and data compilations.

Risk of Loss

All investment programs have certain risks that are borne by the investor. The investment approach employed by PWP constantly keeps the risk of loss in mind. Like other investors, PWP clients face the following investment risks that they should be prepared to bear:

Dependence on PWP: The performance of an investment account at PWP is critically dependent on the efforts of PWP personnel. Biographical information about PWP

personnel is included in the brochure supplement at the end of this firm brochure. PWP financial advisors devote the time and effort that they deem necessary to supervision of PWP investment accounts, but they have other business responsibilities. The past performance of PWP and its financial advisors may not be indicative of future results.

Market Risk: The price of a security, bond, or mutual fund may drop in reaction to tangible and intangible events and conditions. External factors cause this type of risk regardless of the particular circumstances that affect a security. For example, political, economic, and social conditions may influence market conditions.

Interest-Rate Risk: Fluctuations in interest rates may cause investment prices to fluctuate. For example, when interest rates rise, fixed-rate bond coupons tend to become less attractive, which in turn causes bond market values to decline.

Inflation Risk: When inflation is present, a dollar today will not buy as much as a dollar next year, because the purchasing power of the dollar is eroding at the rate of inflation.

Volatility Risk: Volatility refers to the amount of uncertainty or risk about the size of changes in the value of a security. High volatility means that the value of a security may potentially be spread over a larger range of values. High volatility means that the price of the security may change dramatically over a short time period in either direction. Low volatility means that the value of a security does not fluctuate dramatically but instead changes at a relatively steady pace over a period of time. Many securities have experienced high volatility in recent years.

Currency Risk: A security that is not denominated in United States dollars is subject to fluctuations in the value of the United States dollar as against the currency in which the security is denominated. For example, the value of a security denominated in euros will decrease if the dollar strengthens against the euro. This type of risk is also called exchange-rate risk.

Reinvestment Risk: Future proceeds from investments may be reinvested at a lower rate of return because yields generally have decreased. This risk primarily relates to fixed-income securities.

Business Risk: This risk is associated with a particular industry or a particular issuer. For example, an oil production company depends upon a lengthy process of finding, transporting, and then selling oil before the company can generate a profit. As a result, an oil production company carries a higher risk of profitability variance than an electric company, which generates income from a relatively stable customer base that must purchase electricity regardless of the economic environment.

Liquidity Risk: Liquidity is the ready ability to convert an investment into cash. Generally, assets are more liquid if many traders are interested in a standardized product. For example, United States Treasury bills are highly liquid, while real estate properties are not.

Only investors who are financially able to maintain their investment without a need for immediate liquidity should consider an investment with PWP.

Financial Risk: Excessive borrowing to finance the operations of a business increases the risk of profitability, because the company is required to repay principal and interest in both good and bad economic times. During periods of financial stress, the inability of a company to meet its loan obligations may decrease the value of its securities and, in some cases, force the company to seek bankruptcy protection.

Use of Mutual Funds

A mutual fund is an open-end investment company that pools money from many investors and invests the money in stocks, bonds, short-term money-market instruments, other securities or assets, or some combination of these investments. The portfolio of the mutual fund consists of the combined holdings that it owns. Each share represents a proportionate ownership of the holdings of the fund and the income that these holdings generate. The price that is paid for mutual fund shares is the per-share net asset value of the mutual fund (its NAV), plus any shareholder fees that the mutual fund imposes at the time of purchase (such as sales loads). The benefits of investing through mutual funds include:

Mutual funds are professionally managed by investment managers that research, select, and monitor the performance of the securities that the mutual fund purchases.

Mutual funds typically have the benefit of diversification. Spreading investments across a wide range of companies and industry sectors may help to lower the risk if a particular company or sector fails. It may be easier to achieve diversification through ownership of mutual funds rather than through ownership of individual stocks or bonds.

Some mutual funds set relatively low dollar amounts for initial purchases, subsequent monthly purchases, or both.

Generally, shares of mutual funds may be readily redeemed at the current NAV, less any fees and charges assessed on redemption. Less frequently, some mutual funds have the option to redeem shares using the underlying stocks in the mutual fund portfolio, and they may delay redemption for a defined period.

Mutual funds also have features that may be viewed as disadvantages:

Mutual funds pay operating and other expenses from fund assets regardless of how the fund performs. These expenses are indirectly charged to all shareholders. Depending on the timing of their investment, shareholders may also have to pay taxes on any capital gains distributions that they receive, even if the mutual fund performs poorly after the shares were purchased.

It may be difficult to ascertain the exact makeup of a mutual fund portfolio at any given time, and shareholders cannot directly influence which securities the mutual fund manager buys and sells or the timing of those trades.

With individual securities or shares of ETFs, real-time (or close to real-time) pricing information is often readily available by checking financial websites. One can also monitor how the price of individual securities and shares of ETFs changes from hour to hour, or even second to second. By contrast, with a mutual fund, the price at which shares are purchased or redeemed typically depends on the NAV of the fund, which may not be calculated until many hours after the order to purchase or redeem is placed. In general, mutual funds calculate their NAV once every business day, typically after the major U.S. exchanges close at 4:00 p.m. Eastern time.

Disciplinary Information

Neither PWP nor any of its personnel has been involved in any legal or disciplinary events that relate to past or present investment advisory clients.

Other Financial Industry Activities and Affiliations

PWP personnel are registered representatives of Essex Financial Services, Inc. There is additional information about the conflicts of interest that may arise from these arrangements in the section of this brochure entitled “Fees and Compensation—Conflicts of Interest.”

Code of Ethics, Participation or Interest in Client Transactions, and Personal Trading

Code of Ethics

The supervised persons of PWP have committed to a written code of ethics. This code of ethics requires PWP and its supervised persons to comply fully with all applicable laws, including federal securities laws, in conducting investment advisory services and related activities. The chief compliance officer of PWP is responsible for overseeing strict adherence to the code of ethics. PWP will provide the code of ethics to any client or prospective client upon request.

The code of ethics is based on the principle that PWP has a fiduciary obligation to its clients. In this fiduciary capacity, PWP and its personnel are required to place the interests of clients before their own interests and the interests of persons and entities that may be related to them. PWP seeks to avoid conflicts of interest with its clients and will take appropriate steps consistent with its code of ethics to resolve any conflicts of interest that may arise.

The PWP code of ethics and other compliance procedures establish policies and procedures in a number of areas, including the treatment of confidential information, recordkeeping, conflicts of interest, and personal securities transactions.

Violations of Law

The PWP chief compliance officer conducts compliance reviews at least annually and monitors for indications of potential violations of law or the code of ethics on a frequent basis. In addition, PWP has a written policy that requires personnel who become aware of a compliance risk to report the possible violation promptly to the chief compliance officer. PWP would investigate any such report and would not retaliate against someone who makes a report.

The code of ethics requires PWP to administer discipline to maintain the quality of services that it provides to clients by encouraging legal and appropriate behavior and by deterring illegal and inappropriate behavior. Disciplinary actions may include a written warning, fines, suspension of employment, and termination of employment.

Personal Trading

PWP permits its supervised persons to purchase and sell securities for their personal accounts and for the accounts of persons and entities related to them, so long as the supervised persons are in compliance with the code of ethics. These securities may be among those purchased or sold for PWP client accounts. A supervised person may effect transactions in a security for client accounts that may be the same as or different from the actions that the supervised person and his or her related persons may take with respect to their own accounts.

To address the potential conflict of interests that may arise as a result of personal trading, the PWP code of ethics requires supervised persons to obtain clearance in advance from the chief compliance officer with respect to proposed personal securities trading if the securities are offered in an initial public offering or a limited offering. The code of ethics also requires supervised persons to disclose to the chief compliance officer all of their reportable personal securities holdings and to provide the chief compliance officer with quarterly transaction reports. In addition, PWP has a written insider trading policy that is designed to prevent the improper use of material nonpublic information.

Brokerage Practices

Selecting Broker-Dealers

PWP has full discretion and authority over its client accounts, including the authority to select the broker-dealer to execute a particular transaction. Fidelity Institutional Wealth Services and Pershing LLC, which are the custodians for PWP client accounts, execute most PWP securities transactions. PWP limits the broker-dealers that it uses to those that it believes to provide best

execution for client transactions. In some cases, federal and state laws may limit or restrict the selection of particular broker-dealers.

Best Execution

PWP places orders for the purchase and sale of securities with broker-dealers selected in its discretion. PWP determines the allocation of transactions to brokers-dealers and the frequency of transactions in its best judgment and in a manner deemed to be in the best interest of clients, rather than by any formula.

PWP seeks best execution for all portfolio transactions. This means that PWP seeks the most favorable price and execution available. A client may not always pay the lowest commission or spread available. Rather, in determining the amount of commissions (including dealer spreads) paid in connection with securities transactions, PWP takes into account factors such as the size of the order, the difficulty of execution, the efficiency of the facilities of the executing broker-dealer (including the research services described below), and any risk assumed by an executing broker-dealer. A client may pay a higher commission if, for example, the broker-dealer has specific expertise in a particular type of transaction (due to factors such as size or difficulty) or is highly efficient in trade execution.

PWP may also give consideration to research services furnished to PWP by broker-dealers and may cause a client to pay these broker-dealers a higher commission or spread than may be charged by other broker-dealers. Research services may include reports that are common in the industry, such as research reports and periodicals, and software for trade execution. Also included may be meetings with analysts and company executives. Typically, PWP uses research and other services to manage all client accounts. Therefore, commission dollars spent for research and other services generally benefit all clients, although a particular client may not benefit from research or services received on each occasion. PWP does not reduce its advisory fee because it receives research.

PWP benefits from obtaining research and other products and services because it does not have to produce or pay for the research and other products and services. PWP may have an incentive to select or recommend a broker-dealer based on its interest in receiving research or other products or services, rather than on the interest of clients in receiving more favorable execution.

Directed Brokerage

PWP requires its new clients to use Fidelity Institutional Wealth Services, which is not affiliated with PWP, to execute transactions. Not all investment managers require their clients to use specific broker-dealers to execute transactions.

Trade Error Policy

On occasion, PWP may experience errors with respect to trades made on behalf of client accounts. PWP endeavors to detect trade errors prior to settlement and to correct them in an expeditious manner. PWP will reimburse client accounts for net losses directly due to uncorrected trade errors attributable to PWP personnel.

Soft Dollars

PWP participates in no formal soft-dollar arrangements.

Order Aggregation

PWP does not aggregate for block execution multiple orders for the purchase and sale of the same security on behalf of several clients for accounts held by a particular custodian. Trades are placed for individual client accounts, typically through the account custodian. It may be more cost effective for trades in individual securities to be aggregated for block execution. However, the vast majority of the securities held in PWP client accounts consist of shares of mutual funds, for which order aggregation is not possible.

Review of Accounts

Periodic Reviews

PWP reviews client accounts on at least a quarterly basis. These reviews are designed to ascertain that the portfolio holdings of the client reflect his or her risk tolerance and investment objectives, are appropriately positioned based on market conditions, and comply with any investment restrictions. PWP financial advisors conduct all periodic reviews.

Review Triggers

PWP may review client accounts more frequently than quarterly if, among other things, major market or economic events occur, if a client experiences a life event (such marriage or the birth of a child), or at the request of the client.

Regular Reports

Twice a year, PWP will send clients a letter that discusses market conditions and the investment outlook. Clients receive account statements from their account custodians at least quarterly.

Client Referrals and Other Compensation

PWP does not pay referral fees or other remuneration in order to receive client referrals. PWP does not accept referral fees or other remuneration when it refers a prospect or client to other professionals.

Custody

PWP is deemed to have constructive custody of client accounts because fees are generally directly debited from client accounts. All client funds and securities are held at qualified custodians. These custodians provide account statements at least quarterly. The account statements are sent directly to each client at his or her address of record or made available electronically. Clients are urged to compare the account statements received directly from their custodians to any reports provided by PWP.

Investment Discretion

Discretionary Authority for Trading

PWP generally accepts discretionary authority to manage securities accounts on behalf of clients. PWP generally has the authority to determine, without obtaining client consent, the securities to be bought or sold and the amount of the securities to be bought or sold. Discretionary trading authority facilitates placing trades in client accounts on behalf of clients so that PWP may promptly implement its investment strategies. PWP does not receive any portion of the transaction fees or commissions paid by the client to the custodian or an executing broker-dealer.

Limited Power of Attorney

Most clients have granted a limited power of attorney, which is a trading authorization that enables PWP to exercise discretionary authority over client accounts.

Voting Client Securities

Proxy Voting

PWP has adopted written proxy-voting policies and procedures. Clients may or may not grant PWP the exclusive right to vote proxies on their behalf. When PWP is granted the right to vote proxies on behalf of a client, PWP has delegated the responsibility to vote these proxies to an unaffiliated proxy-voting service provider. To the extent that a client retains proxy-voting authority or has specific instructions regarding proxy voting, the investment management agreement documents this consideration. PWP proxy-voting procedures are available upon

request by any client or prospective client. A client may also request in writing a record of how PWP has voted proxies relating to his securities.

Conflicts of Interest

Because the proxy-voting service provider votes most client proxies based on the recommendations of a neutral third party, it is unlikely that a conflict of interest will arise. If a matter to be voted upon involves a potential conflict of interest, the financial advisor to whom the client account is assigned consults with the chief compliance officer prior to contacting the client to describe the conflict presented. Once the client has been consulted, PWP requests the proxy-voting service to vote the proxy in accordance with the instructions of the client.

Financial Information

This item is not applicable.

Brochure Supplement

Education and Business Standards

PWP considers relevant business experience to be one of the most important criteria in selecting persons to provide investment advice to its clients. PWP does not have specific hiring guidelines. PWP seeks to hire personnel whose educational and professional backgrounds are compatible with the functions that they perform. Absent suitable business experience, PWP seeks to entrust investment advisory responsibilities to personnel with academic backgrounds, including advanced training, that reflect the skills and intelligence necessary to perform the assigned functions.

Certifications and Credentials

Some of the individuals described in this brochure supplement have earned certifications and credentials that are required to be explained in further detail.

The certified financial planner certification process, administered by the CFP Board, identifies to the public that those individuals who have been authorized to use the CFP® certification marks in the United States have met rigorous professional standards and have agreed to adhere to the principles of integrity, objectivity, competence, fairness, confidentiality, professionalism, and diligence when dealing with clients. CFP® professionals must pass the comprehensive CFP® certification examination, pass the CFP Board's Fitness Standards for Candidates and Professionals Eligible for Reinstatement, agree to abide by the CFP Board's Code of Ethics and Professional Responsibility and Rules of Conduct that put client interests first, and comply with the Financial Planning Practice Standards, which spell out what clients should be able to reasonably expect from a financial planning engagement. To renew a CFP® certification, one

must pay an annual certification fee, submit a properly completed certification application every two years, and complete thirty hours of continuing education accepted by the CFP Board every two years.

Educational Background and Business Experience

Robert S. Paolucci, CFP®

Born 1978

Fairleigh Dickinson University, Financial Planning

Mr. Paolucci is the founder and the chief executive officer of Principle Wealth Partners. Prior to founding PWP, from 2009 to 2017, he was a senior vice president and financial advisor at Essex Financial Services, Inc. From 2008 to 2009, Mr. Paolucci was a senior financial advisor with Banc of America Investment Services, Inc. From 2000 to 2008, he was a senior account executive with the Fidelity Investments Private Client group. Mr. Paolucci has been involved in the financial services industry throughout his entire career.

John P. Hannigan, CFP®

Born 1964

William Paterson College, Accounting

Mr. Hannigan is the managing director of Principle Wealth Partners. Prior to joining PWP, from 1998 to 2017, he was a vice president and executive planning consultant at Fidelity Investments. There Mr. Hannigan provided comprehensive investment and financial-planning services to the families of top executives at five Fortune 100 companies.

Kevin J. Looby, CFP®

Born 1968

Fairleigh Dickinson University, Financial Planning

Mr. Looby is a senior advisor at Principle Wealth Partners. Prior to joining PWP, from 2016 to 2017, he was a vice president and financial advisor at Essex Financial Services, Inc. From 2000 to 2016, Mr. Looby was a vice president and regional planning consultant at Fidelity Investments. From 1996 to 2000, he was a retirement specialist with Fidelity Investments Institutional Services Company, Inc. Mr. Looby has been involved in the securities industry throughout his entire business career.

Michael J. Castiello

Born 1984

University of Connecticut, Economics

Mr. Castiello is the chief compliance officer of Principle Wealth Partners. Prior to joining PWP, from 2014 to 2017, he was a financial advisor at Essex Financial Services, Inc. From 2010 to 2014, Mr. Castiello was a branch manager at Bank of America.

Mary M. MacGregor

Born 1967

University of Rhode Island, Psychology and Human Development

Ms. MacGregor is the director of client services at Principle Wealth Partners. Prior to joining PWP, from 2016 to 2017, she was a client relationship manager at Essex Financial Services, Inc. From 1991 to 2016, Ms. MacGregor was a client service manager for Banc of America Investment Services, Smith Barney, and Dean Witter. She has been involved in the securities industry throughout her entire career.

Disciplinary Information

This item is not applicable.

Other Business Activities

Messrs. Paolucci, Hannigan, Looby, and Castiello and Ms. MacGregor are registered representatives of Essex Financial Services, Inc. Mr. Looby invests in residential rental properties in Michigan and New Jersey.

Additional Compensation

This item is not applicable.

Supervision of PWP Personnel

Mr. Paolucci has overall supervisory responsibility for all PWP personnel. Mr. Castiello supervises all PWP personnel for compliance purposes. Except with respect to those clients who have not granted discretionary trading authority, PWP personnel render investment advice primarily by effecting transactions in client accounts rather than by recommending transactions to clients for their approval. Questions relating to the supervision of PWP personnel may be addressed to Mr. Castiello, the chief compliance officer of PWP, at 203.318.8482.