
ITEM 1—JOHN CRUSE – COVER PAGE ADV PART 2 B BROCHURE

This brochure provides supplemental information about John M. Cruse (CRD# 4326987). This supplements the Cruse Investments ADV Part 2 A brochure, which should have also been provided to you. Please contact us at 707-315-0887 or by email john@cruseinvestments.com if you need the brochure or if you have any questions.

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE**John M. Cruse**

john@cruseinvestments.com

Year Born: 1955

Educational Background

Accounting & Finance – San Francisco State University (1973 - 1980)

Business Background

07/2013 – Present: *Owner & Principal*, Cruse Investments

06/2011 – 07/2013: *Registered Representative*, LPL Financial, LLC

01/2011 – 06/2011: *Representative*, Wells Fargo Advisors, LLC

05/2001 – 06/2011: *Representative*, Wells Fargo Investments, LLC

Professional Qualifications

Series 7, General Securities Representative Examination (2001)

Series 66, Uniform Combined State Law Examination (2001)

ITEM 3 - DISCIPLINARY INFORMATION

In 2011 while employed with Wells Fargo Advisors, LLC, John M. Cruse was alleged to have executed discretionary trades in customer accounts without obtaining prior written authorization. Mr. Cruse, without admitting or denying the findings, consented to a FINRA sanctioned 10 day suspension and a fine of \$5,000.

ITEM 4 – OTHER BUSINESS ACTIVITIES

The principal business of John M. Cruse is that of an investment advisor representative and provider of financial planning services.

ITEM 5 - ADDITIONAL COMPENSATION

Other than work with Cruse Investments and any disclosures made in Items 2 and 4 above, John M. Cruse receives no additional compensation related to outside business activities.

ITEM 6 - SUPERVISION

John M. Cruse is the sole owner of Cruse Investments and is the supervising authority. John M. Cruse remains aware of and keeps us in compliance with the current rules and regulations put forth by each ruling regulatory authority where we conduct our business. Cruse Investments maintains a written compliance manual that is reviewed with employees when they are hired as well as annually. Cruse Investments has established internal policies for the guidance of its trading personnel. Transactions, which vary from the guidelines, are subject to periodic supervisory review. These guidelines are reviewed yearly and periodically adjusted. John M. Cruse is located at 1423 Dupree Way, Petaluma, California 94954 and can be reached by calling (707) 315.0887.

ITEM 7 - REQUIREMENTS FOR STATE-REGISTERED ADVISERS

Other than any disclosures made in Item 3 above, John M. Cruse has not been found liable in any additional material arbitration or liable in a civil, self-regulatory organization, or administrative proceeding involving an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. John M. Cruse has not been the subject of a bankruptcy petition in the last ten (10) years.