



Joseph Stapleton

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Form ADV, Part 2B Brochure Supplement

November 29, 2017

This brochure supplement provides information about Joseph Stapleton that supplements the Spinnaker Investment Group, LLC brochure. You should have already received a copy of that brochure. Please contact us at 949-396-6700 if you did not receive our brochure or if you have any questions about the contents of this supplement.

Additional information about Joseph Stapleton is available on the SEC's website at www.adviserinfo.sec.gov.

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Joseph Stapleton, Investment Adviser Representative, b. 1984

Education:

University of Arizona, B.S., Finance and Entrepreneurship, 2006

Business Background:

Spinnaker Investment Group, LLC, Investment Adviser Representative, 5/2016 – Present

Stephen A. Kohn & Associates, Ltd., Registered Representative, 11/2017 – Present

Signature Resources Capital Management, LLC, Investment Adviser Representative, 11/2010 – 5/2016

MML Investors Services, LLC, Registered Representative, 10/2014 – 5/2016

MassMutual Life Insurance Company, Agent, 10/2014 – 5/2016

Signature Resources Insurance & Financial Services, Inc., Financial Representative, 3/2008 – 11/2014

Signator Investors, Inc., Financial Advisor Registered Representative, 11/2008 – 11/2014

ITEM 3 - DISCIPLINARY INFORMATION

Spinnaker Investment Group is required to disclose information regarding any legal or disciplinary events material to a client's evaluation of Joseph Stapleton. Spinnaker Investment Group has no information to disclose in relation to this Item.

ITEM 4 - OTHER BUSINESS ACTIVITIES

Spinnaker Investment Group is required to disclose information regarding any investment-related business or occupation in which Joseph Stapleton is actively engaged.

Licensed Insurance Agent

Joseph Stapleton is a licensed insurance agent and in such capacity may recommend, on a fully-disclosed commission basis, the purchase of certain insurance products. A conflict of interest exists to the extent that Spinnaker Investment Group recommends the purchase of insurance products where Joseph Stapleton receives insurance commissions or other additional compensation. Spinnaker Investment Group seeks to ensure that all recommendations are made in the best interests of clients regardless of any additional compensation earned.

Registered Representative

Joseph Stapleton is also a registered representative of Stephen A. Kohn & Associates, Ltd., a non-affiliated registered broker-dealer and a member of the Financial Industry Regulation Authority ("FINRA"). In this capacity, Joseph Stapleton may make security recommendations, offer investment products and/or effect securities transactions. When effecting transactions he may receive compensation, commissions and/or trailing 12b-1 fees from Stephen A. Kohn & Associates, Ltd. for products held by Spinnaker Investment Group's advisory clients. Receipt of this type of transaction related compensation is a conflict of interest as it gives Joseph Stapleton an incentive to recommend investment products based on the additional compensation received. Spinnaker Investment Group will not charge advisory fees on the portion of the client's portfolio that includes investment products for

which Joseph Stapleton receives commissions and/or trailing 12b-1 fees. In all instances, Spinnaker Investment Group will ensure that Spinnaker Investment Group clients are provided with disclosure that outlines the commissions and/or trailing 12b-1 fees that Joseph Stapleton receives.

ITEM 5 - ADDITIONAL COMPENSATION

Joseph Stapleton receives compensation from the activities described in Item 4, above.

ITEM 6 - SUPERVISION

Morgan Christen, Chief Compliance Officer and Managing Member, is generally responsible for supervising Joseph Stapleton's advisory activities on behalf of Spinnaker Investment Group. Morgan Christen can be reached at the firm's main telephone number listed on the cover page of this Brochure Supplement.

Spinnaker Investment Group supervises its personnel and the investments made in client accounts. Spinnaker Investment Group monitors the investments recommended by Joseph Stapleton to ensure they are suitable for the particular client and consistent with their investment needs, goals, objectives and risk tolerance, as well as any restrictions previously requested by the client. Spinnaker Investment Group periodically reviews the advisory activities of Joseph Stapleton, which may include reviewing individual client accounts and correspondence (including e-mails) sent and received by Joseph Stapleton.