



WEALTHMANAGEMENT

FORM ADV PART 2B  
BROCHURE SUPPLEMENT  
MARCH 10, 2021

**MATTHEW HAERTZEN, CFA**

SENIOR INVESTMENT ADVISOR

INVESTMENT ADVISOR REPRESENTATIVE

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This brochure supplement provides information about Matthew Haertzen, Investment Adviser Representative of WT Wealth Management, LLC (“WTWM” or the “Firm”), that supplements the WT Wealth Management, LLC brochure. You should have received a copy of that brochure. Please contact Dave Johnson, Chief Compliance Officer, if you did not receive WT Wealth Management, LLC’s brochure or if you have any questions about the contents of this supplement.

Additional information about the Firm’s Investment Adviser Representatives is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). The site is searchable by a unique identifying number known as a CRD number. Mr. Haertzen’s CRD number is 2405742.

## ITEM 1 BACKGROUND

### A. GENERAL REQUIREMENTS

Generally, WTWM requires employees to have relevant work experience in the securities industry. Any employee of WTWM acting in a representative capacity will be appropriately licensed and registered as such.

### B. INVESTMENT ADVISER REPRESENTATIVE INFORMATION

We currently have twelve (12) investment adviser representatives employed by WTWM. This Brochure Supplement provides information about **Matthew Haertzen**.

## ITEM 2 EDUCATION AND BUSINESS EXPERIENCE

CRD No. 2405742

Year of Birth: 1971

### Educational Background

**University of Minnesota, Carlson School of Management (1994)**

Earned MBA

**University of Minnesota, Morris (1993)**

Earned BA

### CFA Designation

Mr. Haertzen is a Chartered Financial Analyst (CFA). Chartered Financial Analysts are licensed by the CFA Institute to use the CFA mark. CFA certification requirements are:

- Hold a bachelor's degree from an accredited institution or have equivalent education or work experience.
- Successful completion of all three exam levels of the CFA Program.
- Have 48 months of acceptable professional work experience in the investment decision making process.
- Agree to adhere to and sign the Member's Agreement, a Professional Conduct Statement, and any additional documentation requested by CFA Institute.

### CFP Designation

Mr. Haertzen is a Certified Financial Planner. The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the

“CFP® marks”) are professional certification marks granted in the United States by 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 86,000 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); and
- Ethics – Agree to be bound by CFP Board’s *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the *Standards of Professional Conduct*. The *Standards* prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

Business Experience

<b>Senior Investment Advisor</b> WT Wealth Management, LLC	<b>Jan. 2018 – Present</b>
<b>Lecturer of Finance</b> Eller College of Management, University of Arizona	<b>Jun. 2017 – Present</b>
<b>Chief Executive Officer/Member</b> Four Peaks Wealth Management, LLC	<b>Oct. 2012 – Mar. 2018</b>
<b>Consultant</b> Georgia Biofuels	<b>Sep. 2011 – Dec. 2017</b>
<b>Managing Member</b> Four Peaks Wealth Sedona, LLC	<b>Feb. 2017 – Nov. 2017</b>
<b>Finance Professor</b> Northern Arizona University	<b>Aug. 2008 – May 2017</b>
<b>Consultant/Portfolio Manager</b> CP Cogent Securities, LP	<b>Aug. 2006 – Apr. 2013</b>
<b>Instructor</b> Western Wyoming Community College	<b>Aug. 2006 – May 2008</b>
<b>Chief Investment Officer</b> CP Cogent Securities, LP	<b>Jun. 2005 – Aug. 2006</b>
<b>Chief Investment Officer</b> Idaho State Endowment Fund	<b>Jan. 2003 – May 2005</b>
<b>Equity Portfolio Manager</b> Washington Trust Bank	<b>Mar. 2001 – Dec. 2002</b>
<b>Assistant Director</b> Office of Asset Management, University of Minnesota	<b>Mar. 1999 – Mar. 2001</b>
<b>Manager, Structured Products Quantitative Support</b> American Express Financial Advisors	<b>Apr. 1994 – Mar. 1999</b>

### **ITEM 3 DISCIPLINARY INFORMATION**

None. Mr. Haertzen does not have any legal or disciplinary events material to a client's or prospective client's evaluation.

### **ITEM 4 OTHER BUSINESS ACTIVITIES**

Mr. Haertzen serves as a Lecturer of Finance for the Eller College of Management at the University of Arizona. Mr. Haertzen may spend as much as 80% of his time with this other business activity.

Mr. Haertzen serves on the Board of Directors for three organizations: Tucson CFA Society, the Outlaws at Prospect Creek Home Owners' Association and Marana Health Care Benefits Trust. He spends approximately 5 hours per month on these activities and he does not receive compensation for his time or work in these roles.

### **ITEM 5 ADDITIONAL COMPENSATION**

Mr. Haertzen receives a salary as a Lecturer of Finance for the Eller College of Management at the University of Arizona.

### **ITEM 6 SUPERVISION**

Mr. Haertzen is an Investment Adviser Representative of WTWM. WTWM provides investment advisory services in accordance with its policies and procedures manual. Dave Johnson serves as WTWM's Chief Compliance Officer and is primarily responsible for implementation of the Firm's policies and procedures. Mr. Johnson may be contacted at (435) 640-8236 or [djohnson@wtwealthmanagement.com](mailto:djohnson@wtwealthmanagement.com) for more information about this Brochure Supplement.