

**Part 2B of Form ADV: *Brochure Supplement***

Nicholas B Putnam

**DBA: Cranehill Management**

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This brochure supplement provides information about Nicholas B Putnam that supplements the Spire Wealth Management, LLC brochure. You should have received a copy of that brochure. Please contact Sue McKeown 703-657-6060 if you did not receive Spire Wealth Management, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Nicholas B Putnam is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 Educational Background and Business Experience

**Full Legal Name:** Nicholas B Putnam      **Born:** 1978

### Education

- Wesleyan University; BA, English; 2003

### Business Experience

- Merrill Lynch; Representative/Advisor; from 09/2018 to 08/2022
- Wells Fargo; Representative/Advisor; from 06/2014 to 09/2018
- Morgan Stanley; Representative/Advisor; from 08/2011 to 06/2014
- Mutual of Omaha; Representative; from 12/2010 to 09/2011

## Item 3 Disciplinary Information

Nicholas B Putnam has no reportable disciplinary history.

## Item 4 Other Business Activities

### A. Investment-Related Activities

1. Nicholas B Putnam is also engaged in the following investment-related activities:

#### **Registered representative of a broker-dealer**

Advisor also carries the securities license required by FINRA (Financial Industry Regulatory Authority) in order to offer securities products and execute securities transactions in addition to their registration as an Investment Advisor representative providing investment advice. Commissions earned are separate from their fees received from their advisory services. This additional licensing allows our advisors a much more robust suite of products to offer to their clients. Registration, supervision and continuing education are all requirements for maintaining this type of registration.

Conflicts of holding this type of license could be in cross-selling. Selling out of an advisory account and buying in a securities account and thereby generating a commission for the representative. Moving monies from an advisory account into a commission account in order to affect a commissionable trade.

Accounts and trades are reviewed for these types of activities. A Source of Funds document is required on many of these types of direct investments to monitor for trade and money movement between advisory and securities accounts.

The types of commissions that may be earned on these types of accounts/products could be any one of the following:

1. Mutual Fund 12b-1 commissions
2. Mutual Funds Trail Commissions
3. Direct Product Sponsor Commissions

2. Nicholas B Putnam does not receive commissions, bonuses or other compensation on the sale of securities or other investment products.

**B. Non Investment-Related Activities**

Nicholas B Putnam is not engaged in any other business or occupation that provides substantial compensation or involves a substantial amount of his or her time.

**Item 5 Additional Compensation**

Nicholas B Putnam does not receive any economic benefit from a non-advisory client for the provision of advisory services.

**Item 6 Supervision**

**Supervisor:** Andrew Baron

**Title:** Designated Supervisor

**Phone Number:** 703-657-6072