# ITEM 1: COVER PAGE FOR PART 2B OF FORM ADV: BROCHURE SUPPLEMENT MARCH 2018

## CRAIG ARTHUR WOLVERTON CRD# 3229179

FOUR SEASONS INVESTMENT ADVISORS, INC. 1120 E. MAIN STREET MONTROSE, CO 81401 (970) 252-7471

> FIRM CONTACT: CRAIG A. WOLVERTON CHIEF COMPLIANCE OFFICER

FIRM WEBSITE ADDRESS: WWW.FOURSEASONSADVISORS.COM

This brochure supplement provides information about Craig A. Wolverton that supplements our brochure. You should have received a copy of that brochure. Please contact Craig A. Wolverton, President and Chief Compliance Officer, if you did not receive our firm's brochure or if you have any questions about the contents of this supplement.

Additional information about Craig A. Wolverton is available on the SEC's website at <a href="https://www.adviserinfo.sec.gov">www.adviserinfo.sec.gov</a>.

#### Item 2. Educational Background & Business Experience

### **Craig Arthur Wolverton**

Year of Birth: 1961 CRD# 3229179

#### **Education Background:**

• 1985: Colorado State University: BS in Economics

#### **Business Background:**

• 05/2005 – Present Four Seasons Investment Advisors, Inc. President & Chief Compliance Officer

• 05/1999 – 07/2005 Tennison & Associates, Inc

Investment Adviser Representative

• 02/2004 – 07/2005 Oberlin Financial Corp

Registered Rep

• 10/2000 – 01/2004 First Allied Securities

Registered Rep

• 05/1999 – 10/2000 D.E. Frey

Registered Rep

#### **Licenses & Professional Designations:**

• Series 65: Investment Adviser Representative License

#### **Item 3. Disciplinary Information**

If there are legal or disciplinary events material to your evaluation of Craig A. Wolverton, we are required to disclose all material facts regarding those events.<sup>1</sup>

We have nothing to disclose in this regard.

#### **Item 4. Other Business Activities**

A. If Craig A. Wolverton is actively engaged in any investment-related business or occupation, including if Craig A. Wolverton is registered, or has an application pending to register, as a broker-dealer, registered representative of a broker-dealer, futures commission merchant ("FCM"), commodity pool operator ("CPO"), commodity trading advisor ("CTA"), or an

<sup>&</sup>lt;sup>1</sup> Note: Our firm may, under certain circumstances, rebut the presumption that a disciplinary event is material. If an event is immaterial, we are not required to disclose it. When we review a legal or disciplinary event involving Craig A. Wolverton to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of Craig A. Wolverton to the advisory function; (2) the nature of the infraction that led to the disciplinary event; (3) the severity of the disciplinary sanction; and (4) the time elapsed since the date of the disciplinary event. If we conclude that the materiality presumption has been overcome, we prepare and maintain a file memorandum of our determination in our records. We follow SEC rule 204-2(a)(14)(iii) and similar state rules.

associated person of an FCM, CPO, or CTA, we are required to disclose this fact and describe the business relationship, if any, between the advisory business and the other business.

1. <u>If a relationship between the advisory business and Craig A. Wolverton's other financial industry activities creates a material conflict of interest with you, the SEC requires us to describe the nature of the conflict and generally how we address it.</u>

We have nothing to disclose in this regard.

2. If Craig A. Wolverton receives commissions, bonuses or other compensation based on the sale of securities or other investment products, including as a broker-dealer or registered representative, and including distribution or service ("trail") fees from the sale of mutual funds, we have to disclose this fact. If this compensation is not cash, we are required to explain what type of compensation Craig A. Wolverton receives. We must explain that this practice gives Craig A. Wolverton an incentive to recommend investment products based on the compensation received, rather than on your needs.

We have nothing to disclose in this regard.

B. If Craig A. Wolverton is actively engaged in any business or occupation for compensation not discussed in response to Item 4.A, above, and the other business activity or activities provide a substantial source of Craig A. Wolverton's income or involve a substantial amount of Craig A. Wolverton's time, we are required to disclose this fact and must describe the nature of that business. If the other business activities represent less than 10 percent of Craig A. Wolverton's time and income, we may presume that they are not substantial.

We have nothing to disclose in this regard.

#### **Item 5. Additional Compensation**

If someone who is not a client provides an economic benefit to Craig A. Wolverton for providing advisory services, we are required to generally describe the arrangement. For purposes of this Item, economic benefits include sales awards and other prizes, but do not include Craig A. Wolverton's regular salary. Any bonus that is based, at least in part, on the number or amount of sales, client referrals, or new accounts should be considered an economic benefit, but other regular bonuses should not.

We have nothing to disclose in this regard.

We are required to explain how we supervise Craig A. Wolverton, including how we monitor the advice Craig A. Wolverton provides to you. Our firm has to provide the name, title and telephone number of the person responsible for supervising Craig A. Wolverton's advisory activities on behalf of our firm.

Craig A. Wolverton is the sole principal and Chief Compliance Officer and as such has no internal supervision placed over him. He is, however, bound by our firm's Code of Ethics.

#### Item 7. Requirements for State-Registered Advisers

- A. <u>In addition to the events listed in Item 3 of Part 2B, if Craig A.</u> Wolverton has been involved in one of the events listed below, we disclose all material facts regarding the event.
  - 1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
    - (a) an investment or an investment-related business or activity;
    - (b) fraud, false statement(s), or omissions;
    - (c) theft, embezzlement, or other wrongful taking of property;
    - (d) bribery, forgery, counterfeiting, or extortion; or
    - (e) dishonest, unfair, or unethical practices.

We have nothing to disclose in this regard.

- 2. <u>An award or otherwise being found liable in a civil, self-regulatory organization, or</u> administrative proceeding involving any of the following:
  - (a) an investment or an investment-related business or activity;
  - (b) fraud, false statement(s), or omissions;
  - (c) theft, embezzlement, or other wrongful taking of property;
  - (d) bribery, forgery, counterfeiting, or extortion; or
  - (e) dishonest, unfair, or unethical practices.

We have nothing to disclose in this regard.

B. <u>If Craig A. Wolverton has been the subject of a bankruptcy petition, we must disclose that fact, the date the petition was first brought, and the current status.</u>

We have nothing to disclose in this regard.