

**Form ADV Part 2B - Brochure Supplement  
Item 1: Cover Page  
February 2021**

**SOLANO WEALTH**  
**MANAGEMENT, INC.**  
accumulate. manage. preserve.

**1300 Oliver Road  
Suite 210  
Fairfield, CA 94534  
[www.solanowealth.com](http://www.solanowealth.com)**

**Carlos R. Mendoza**

This brochure supplement provides information about Carlos R. Mendoza that supplements our firm brochure. You should have received a copy of that brochure. Please contact Rufus Williams, Chief Compliance Officer if you did not receive Solano Wealth Management, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about Carlos R. Mendoza is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD # 4237221.

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## Item 2: Educational Background & Business Experience

**Carlos Romero Mendoza**

**Year of Birth:** 1975

### **Educational Background:**

- 1999: Solano Community College; Associates Degree - Business Administration
- 2001: California State University, Sacramento; B.S. - Finance

### **Business Background:**

- 03/2017 – Present Solano Wealth Management, Inc.; Wealth Advisor
- 03/2017 – Present LPL Financial, LLC; Financial Advisor
- 12/2001 – 03/2017 Wells Fargo Advisors; Senior Financial Advisor

### **Exams, Licenses & Other Professional Designations:**

- 2013 – CERTIFIED FINANCIAL PLANNER™, CFP®
- 2006 – Accredited Asset Management Specialist, AAMS®
- 2002 – Series 7 & 65 Exams
- 2001 – Series 6 & 63 Exams
- 2001 – California Life and Health Insurance License

### **CERTIFIED FINANCIAL PLANNER, CFP®**

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 high standard of professional education, stringent code of conduct and standards of practice and ethical requirements that govern professional engagements with clients. To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements: 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, pass the comprehensive CFP® Certification Examination, Complete at least three years of full-time financial planning-related experience and agree to be bound by CFP® Board's *Standards of Professional Conduct*.

Individuals who become certified must 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 industry and 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.

### **Accredited Asset Management Specialist (AAMS®)**

The College for Financial Planning® awards the AAMS® designation to students who successfully complete the program, pass the final examination and comply with the Code of Ethics, which includes agreeing to abide by the Standards of Professional Conduct and Terms and Conditions. Applicants must also disclose of any criminal, civil, self-regulatory organization, or governmental agency

inquiry, investigation, or proceeding relating to their professional or business conduct. Conferment of the designation is contingent upon the College for Financial Planning's review of matters either self-disclosed or which are discovered by the College that are required to be disclosed. Continued use of the AAMS® designation is subject to ongoing renewal requirements. Every two years individuals must renew their right to continue using the AAMS® designation by completing 16 hours of continuing education and reaffirming to abide by the Standards of Professional Conduct, Terms and Conditions, and self disclose any criminal, civil, self-regulatory organization, or governmental agency inquiry, investigation, or proceeding relating to their professional or business conduct.

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### **Item 3: Disciplinary Information<sup>1</sup>**

There are no legal or disciplinary events material to your evaluation of Carlos R. Mendoza.

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### **Item 4: Other Business Activities**

Carlos R. Mendoza is a Financial Advisor of LPL Financial, LLC, member FINRA/SIPC. He may offer securities and receive commissions as a result of securities transactions. A conflict of interest may arise as these commissionable securities sales may create an incentive to recommend products based on the compensation Carlos R. Mendoza may earn and may not necessarily be in the best interests of the client.

Carlos R. Mendoza is a licensed life and health insurance agent. He may offer insurance products and receive fees as a result of insurance sales. A conflict of interest may arise as these insurance sales may create an incentive to recommend products based on the compensation he may earn and may not necessarily be in the best interests of the client.

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### **Item 5: Additional Compensation**

In connection with the transition of clients to the LPL custodial platform and Carlos R. Mendoza's association as a registered representative of LPL, Carlos R. Mendoza received in March 2017 financial transition support from LPL in the form of a forgivable loan that may be forgiven over time, depending on the length of his tenure with LPL. Forgiveness of the loan, in whole or in part, is conditioned on Carlos R. Mendoza remaining affiliated with LPL for a period of 5 years.

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### **Item 6: Supervision**

Rufus Williams, Chief Compliance Officer of Solano Wealth Management, Inc., supervises and monitors Carlos R. Mendoza's activities on a regular basis. Mr. Williams reviews all outgoing correspondence for written financial advice that Carlos R. Mendoza provides to his clients. Please contact Mr. Williams if you have any questions about Carlos R. Mendoza's brochure supplement at (707) 435-8400.

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<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 the advisor to determine whether it is appropriate to rebut the presumption of materiality, we consider all of the following factors: (1) the proximity of advisor 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.