



PlanMember Securities Corporation

Planning your future...today®

6187 Carpinteria Ave
Carpinteria, California
93013

(805) 684-1199

(800) 874-6910

(805) 684-2159 fax

PlanMember Securities Corporation

FORM ADV PART 2B BROCHURE SUPPLEMENT

6187 Carpinteria Avenue Carpinteria, CA 93013

This brochure supplement provides information about Lindsey K. James-West that supplements the PlanMember Securities Corporation brochure. You should have received a copy of that brochure. Please contact Daniel Murphy Chief Compliance Officer, at 805-684-1199 if you did not receive PlanMember Advisors brochure or if you have any questions about the contents of this supplement.

Additional information about Lindsey K. James-West is available on the SEC's website at
www.adviserinfo.sec.gov.

PSEC
4/5/2016

Index

Personal Information	2
Education	2
Designations.....	2
Business Experience/ Background.....	3
Disciplinary Information	3
Other Business Activities	3
Additional Compensation	4
Supervision	4

Personal Information:

Name: Lindsey K. James-West

Title: Financial Planner

Year of Birth: 1979

Education:

- Northwestern University, Bachelor of Science in Speech, Cum Laude 1998 to 2002
 - Double major in Communication Studies and Hispanic Studies; concentration in Business Institutions
 - University of Seville, Spain 2000
 - University of Salamanca, Spain 2000
- Rice University 8/2011 to 5/2012
 - CFP® Certification Education Program

Designations:

CFP® (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 62,000 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, administered in 10 hours over a two-day period, 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/ Background:

- PlanMember Securities Corporation- Investment Advisor Representative 6/2011 to Present
- PlanMember Securities Corporation- Registered Representative 4/2010 to Present
- LKJ Financial, LLC- Managing Partner 2009 to Present
- GolinHarris- Account Supervisor 2004 to 2009

Disciplinary Information:

Lindsey K. James-West has not had any legal or disciplinary events in her past. Clients and prospective clients can view the CRD records (registration records) for Lindsey K. James-West through the SEC's Investment Adviser Public Disclosure (IAPD) website at www.adviserinfo.sec.gov or FINRA's BrokerCheck database online at www.finra.org/brokercheck. The CRD number for Lindsey K. James-West is CRD No 5692165.

Other Business Activities:

- Lindsey K. James-West is licensed as an independent insurance agent. In this capacity, she can effect transactions in insurance products for her clients and earn commissions for these activities. The fees you pay our firm for advisory services are separate and distinct from the commissions earned by Lindsey K. James-West for insurance related activities. This may present a conflict of

interest because Lindsey K. James-West may have an incentive to recommend insurance products to you for the purpose of generating commissions rather than solely based on your needs. However, you are under no obligation, contractually or otherwise, to purchase insurance products through any person affiliated with our firm.

- Lindsey K. James-West is a registered representative of the broker-dealer PSEC. PSEC clients may be offered various securities in addition to the advisory services offered by PSEC. The purchase of securities may result in Lindsey K. James-West receiving commission based compensation in addition to any advisory fee paid by the client. PSEC clients are not obligated to purchase any securities products from PSEC or its associates. If the client chooses to implement Lindsey K. James-West recommendations through PSEC, a registered broker-dealer, a conflict of interest exists. These conflicts are mitigated by our standard of conduct in the Code of Ethics section.

Additional Compensation:

- Lindsey K. James-West does not receive any additional compensation for providing Financial Planning beyond that received as a result of her capacity as Financial Planner/Investment Advisor Representative of PlanMember Securities Corporation.
- Lindsey K. James-West as the registered representative may receive cash and non-cash compensation from certain third party product sponsors as permitted by industry rules. For example, product sponsors and other companies may reimburse Lindsey K. James-West up to 100% of the cost of due diligence, training and education/joint marketing meetings. In addition, sales by Lindsey K. James-West may qualify her for additional compensation that may include support for her business activities, attendance at seminar, conferences and entertainment.
- Lindsey K. James-West as the registered representative will also receive compensation from third party investment advisors for referring client accounts to the third party for account management. The third party will pay Lindsey K. James-West as the registered representative a solicitation fee for the referral. Lindsey K. James-West may also serve as the registered representative of record on the assets managed by the third party investment advisor. When this is the case, Lindsey K. James-West will receive normal and customary compensation (e.g., commissions, 12b-1 fees, trails) for the purchase of the investments. This compensation is in addition to the referral fee paid by the third party advisor.

Supervision:

The Chief Compliance Officer (CCO) of PlanMember Securities Corporation is responsible for supervising the advisory activities of Lindsey K. James-West. As part of her supervisory responsibilities for PlanMember Securities Corporation, the CCO has in place written supervisory procedures that are designed to detect and prevent violations of the securities laws, rules and regulations.



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6187 Carpinteria Avenue Carpinteria, CA 93013

This brochure supplement provides information about Adam Goldman that supplements the PlanMember Securities Corporation brochure. You should have received a copy of that brochure. Please contact Sean Haley Chief Compliance Officer, at 805-684-1199 if you did not receive PlanMember Securities Corporation (PSEC) brochure or if you have any questions about the contents of this supplement.

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

PSEC
12/2/2020

Index

Personal Information.....	2
Education.....	2
Designations.....	2
Business Experience/ Background	2
Disciplinary Information	2
Other Business Activities	2
Additional Compensation.....	3
Supervision.....	3

Personal Information:

- Name: Adam Goldman
- Title: Investment Advisor Representative/Financial Advisor/Wealth Advisor
- Year of Birth: 1984

Education:

- | | | |
|--|--------------------------------------|------|
| • California State University - Northridge | Bachelor of Arts, English Literature | 2009 |
| • Keimyung University | Master of Business Administration | 2014 |

Designations:

- None

Business Experience/ Background:

- | | |
|---|-----------------|
| • PlanMember Securities Corporation – Registered Representative | 2015 to Present |
| • PlanMember Securities Corporation – Investment Advisor Representative | 2020 to Present |
| • LKJ Financial, LLC – Financial Advisor | 2020 to Present |
| • LKJ Financial, LLC – Licensed Sales Assistant | 2019 to 2020 |
| • PlanMember Securities Corporation – Partner Development Analyst | 2015 to 2019 |
| • Study Bank Academy – Teacher | 2013 to 2014 |

Disciplinary Information:

- Adam Goldman has no legal or disciplinary events in the past. Clients and prospective clients can view the CRD records (registration records) for Adam Goldman through the SEC's Investment Adviser Public Disclosure (IAPD) website at www.adviserinfo.sec.gov or FINRA's BrokerCheck database online at www.finra.org/brokercheck. Adam Goldman's CRD number is 6441601.

Other Business Activities:

- Adam Goldman is licensed as an independent insurance agent. In this capacity, he can effect transactions in insurance products for his clients and earn commissions for these activities. The fees you pay our firm for advisory services are separate and distinct from the commissions earned by Adam Goldman for insurance related activities. This may present a conflict of interest because Adam Goldman may have an incentive to recommend insurance products to you for the purpose of generating commissions rather than solely based on your needs. However, you are under no

obligation, contractually or otherwise, to purchase insurance products through any person affiliated with our firm.

- Adam Goldman is a registered representative of the broker-dealer PSEC. PSEC clients may be offered various securities in addition to the advisory services offered by PSEC. The purchase of securities may result in Adam Goldman receiving commission based compensation in addition to any advisory fee paid by the client. PSEC clients are not obligated to purchase any securities products from PSEC or its associates. If the client chooses to implement Adam Goldman recommendations through PSEC, a registered broker-dealer, a conflict of interest exists. These conflicts are mitigated by our standard of conduct in the Code of Ethics section.

Additional Compensation:

- Adam Goldman does not receive any additional compensation for providing investment management beyond that received as a result of his capacity as a Financial Planner of PlanMember Securities Corporation.
- Adam Goldman as the registered representative may receive cash and non-cash compensation from certain third party product sponsors as permitted by industry rules. For example, product sponsors and other companies may reimburse Adam Goldman up to 100% of the cost of due diligence, training and education/joint marketing meetings. In addition, sales by Adam Goldman may qualify him for additional compensation that may include support for his business activities, attendance at seminar, conferences and entertainment.
- Adam Goldman, as the registered representative will also receive compensation from third party investment advisors for referring client accounts to the third party for account management. The third party will pay Adam Goldman as the registered representative a solicitation fee for the referral. Adam Goldman may also serve as the registered representative of record on the assets managed by the third party investment advisor. When this is the case, Adam Goldman will receive normal and customary compensation (e.g., commissions, 12b-1 fees, trails) for the purchase of the investments. This compensation is in addition to the referral fee paid by the third party advisor.

Supervision:

- The Chief Compliance Officer (CCO) of PlanMember Securities Corporation is responsible for supervising the advisory activities of Adam Goldman. As part of his supervisory responsibilities for PlanMember Securities Corporation, the CCO has in place written supervisory procedures that are designed to detect and prevent violations of the securities laws, rules and regulations.