



VESTIA™

Personal Wealth Advisors

BROCHURE SUPPLEMENT
JANUARY 2022

THOMAS SCOTT MARTIN, CFP® , CPWA®

9121 ILLINOIS RD
SUITE 51
FORT WAYNE, IN 46804

TEL: (877) 669-1126

This Brochure Supplement provides information about Thomas Martin that supplements the Disclosure Brochure for Vestia Advisors, LLC ("Vestia"), a copy of which you should have received. Please contact the Chief Compliance Officer at (971) 371-3450 or email compliance@vestia.com if you did not receive the Disclosure Brochure or if you have any questions about the contents of this Brochure Supplement. Additional information about Thomas Martin is available on the SEC's website at www.advisorinfo.sec.gov.

Vestia LLC, a Registered Investment Advisor
9121 Illinois Road, Fort Wayne, IN 46804
(877) 669-1126 | www.vestiaadvisors.com

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Item 2. Educational Background and Business Experience

Post-Secondary Education

Harvard Business School; Program for Leadership Development
Wharton School; Venture Capital program
University of Chicago Booth School of Business; CPWA® Training
Kansas State University's Institute of Personal Finance; Graduate Certificate, Family Financial Planning
Indiana University; BA
Certified Private Wealth Advisor® (CPWA®) *
Certified Financial Planner® (CFP®) *
Series 66, Life & Health, Property & Casualty, and Long-term care licenses held

Recent Business Background

Mammoth Investors, LLC | Chief Executive Officer | April 2021 – Present
The Securities Group, Inc. dba Mammoth Research | Registered Representative | November 2020 - Present
Ausdal Financial Partners, Inc. | Registered Representative | January 2020 – November 2020
Vestia Advisors, LLC | Partner & Chief Executive Officer | October 2017 - Present
Larson Financial Group, LLC | Financial Advisors | December 2007 – December 2017
Larson Financial Securities, LLC | Registered Representative | July 2010 – December 2017
Financial Network (B/D for Larson Financial Group, LLC) | Registered Representative | January 2008 – July 2010
Cambridge Investment Research | Registered Representative | May 2005 – January 2008

Born 1980

Item 3. Disciplinary Information

Vestia is required to disclose information regarding any legal or disciplinary events material to a client's evaluation of Thomas Martin. Vestia has no information to disclose in relation to this Item.

Item 4. Other Business Activities

Mr. Martin operates as a Board Manager and CEO of Mammoth Investors, LLC which owns venture capital funds managed by Mammoth Scientific, LLC and the Mammoth Research, LLC private investment platform. Mr. Martin also operates as an Operating Manager of both Mammoth Scientific, LLC and Mammoth Research, LLC. Mammoth Scientific, LLC is registered as an Exempt Reporting Advisor that manages certain venture capital investments in the affiliated Mammoth Private Capital, LLC family of funds. Mammoth Research, LLC is a private investment matchmaking platform which is registered as a Broker/Dealer under The Securities Group, LLC.



Vestia Ventures, LLC owns a minority interest in Mammoth Investors, LLC. In exchange for the roles above, Mr. Martin, is being paid in equity from Mammoth Investors, LLC therefore is an owner of the Firm. He may also receive a salary, bonuses, or management fees via a personally owned entity if Mammoth achieves certain milestones. A conflict exists as Mr. Martin may elect to introduce an existing or prospective advisory client, if they are an accredited investor, to the Mammoth Research, LLC platform or venture capital funds managed by Mammoth Scientific, LLC. These current or potential clients may indirectly compensate Vestia Personal Wealth Advisors personnel due to their ownership in Vestia Ventures, LLC or their ownership in Mammoth Investors, LLC. In an effort to mitigate this conflict, the client(s) will engage directly with Mammoth Scientific, LLC and Mammoth Research, LLC. No advisory client is obligated to invest in any of the investments made available through the Mammoth entities described above.

Mr. Martin is an investor in, and consultant for, Vestia Ventures, LLC which holds private equity investments and interest as well as provides non-legal aspects of contract negotiation services for professionals and other consulting and/or management services in exchange for cash, equity, or services. As an investor, Mr. Martin is compensated through profit distributions. Clients of Vestia Ventures, LLC may be clients or potential clients of Vestia Advisors, LLC. A conflict exists as Mr. Martin may elect to introduce existing advisory clients to Vestia Ventures, LLC for consulting services.

Mr. Martin is an investor in LOUD Capital, LLC a private equity fund company that provides General Partner and management services to several private investment funds. As an investor, Mr. Martin is compensated through profit distributions or carried interest. A conflict exists as Mr. Martin may elect to introduce existing advisory clients to LOUD Capital, LLC if the client is an accredited investor who has expressed interest in private equity opportunities. In an effort to mitigate this conflict, the client(s) will engage directly with LOUD Capital, LLC and at no time will Vestia charge advisory fees for any assets invested in LOUD Capital, LLC.

Mr. Martin is an investor in Vestia Ventures MiRus Investment, LLC, and Vestia MiRus QP Investment, LLC which are Private Special Purpose Investment Vehicles formed to invest in debt or equity of MiRus, LLC, a medical device manufacturer. Vestia Ventures, LLC holds a direct equity position in MiRus, LLC. As an investor in Vestia Ventures MiRus Investment, LLC, Vestia MiRus QP Investment, LLC, and Vestia MiRus New Opportunity, LLC. Mr. Martin is compensated through profit distributions. Investors in Vestia Ventures MiRus Investment, LLC, and Vestia MiRus QP Investment, LLC may also be clients or potential clients of Vestia Advisors, LLC. A conflict exists as Mr. Martin may elect to introduce existing advisory clients to Vestia Ventures MiRus Investment, LLC, or Vestia MiRus QP Investment, LLC if the client is an accredited investor. In an effort to mitigate this conflict, the client(s) will engage directly with Vestia Ventures MiRus Investment, LLC, or Vestia MiRus QP Investment, LLC and at no time will Vestia Advisors, LLC charge advisory fees for any



assets invested in Vestia Ventures MiRus Investment, LLC, or Vestia MiRus QP Investment, LLC.

Mr. Martin is an insurance agent and indirect owner of Vestia Insurance, LLC. Vestia may sell insurance policies to investment advisory clients which result in commission payments. Any time a commission is involved a conflict of interest exists. In an effort to reduce conflicts of interest, Vestia advisors, including Mr. Martin, do not receive individual commissions from any insurance provider while affiliated with Vestia. While the agent is not paid a direct commission, our holding company, insurance agency affiliate, as well as our firm personnel benefit from this arrangement since revenue earned from this business activity may be used to offset operating expenses, provide shareholder distributions, etc. Our advisory firm and its associates take their responsibilities seriously and recommend services we believe appropriate for each client.

Mr. Martin is a Registered Representative of The Securities Group, Inc., dba Mammoth Research ("The Securities Group"), registered broker-dealer and member of FINRA. In this capacity, he may provide securities brokerage services and implement securities transactions under a commission-based arrangement. Mr. Martin may be entitled to a portion of the brokerage commissions paid to The Securities Group, as well as a share of any ongoing distribution or service ("trail") fees from the sale of mutual funds or other variable products. A conflict of interest exists to the extent that Mr. Martin recommends the purchase of securities where he receives commissions or other additional compensation as a result. This practice may give him an incentive to recommend investment products based on compensation received rather than on the client's needs. Vestia has procedures in place to ensure that all recommendations are made in the best interests of clients regardless of any additional compensation earned. For certain accounts covered by ERISA (and such others that the firm deems appropriate), the Firm provides investment advisory services on a fee offset basis, whereby the firm reduces its fee by an amount equal to the aggregate commissions and 12b-1 fees earned by Mr. Martin in his individual capacity as a registered representative of The Securities Group.

See Item 10 Sub-section "Private Equity" of Form ADV Part 2A for additional discussion related to the Firm's activities.

Item 5. Additional Compensation

Vestia is required to disclose information regarding any arrangement under which Thomas Martin receives an economic benefit from someone other than a client for providing investment advisory services. Mr. Martin is being paid in equity from Mammoth Investors, LLC. He may also receive a salary, bonuses, or management fees via a personally owned entity if Mammoth achieves certain milestones as detailed above.



Item 6. Supervision

The Chief Compliance Officer is generally responsible for supervising Thomas Martin's advisory activities on behalf of Vestia. The Chief Compliance Officer can be reached at the firm's main telephone number listed on the cover page of this Brochure Supplement.

Vestia supervises its personnel and the investments made in client accounts. Vestia monitors the investments recommended by Thomas Martin to ensure they are suitable for the particular client and consistent with their investment needs, goals, objectives, and risk tolerance, as well as any restrictions previously requested by the client. Vestia periodically reviews the activities of Thomas Martin, which may include reviewing individual client accounts and correspondence (including e-mails) sent and received by Mr. Martin.

***CERTIFIED PRIVATE WEALTH ADVISOR® (CPWA®)**

The CPWA designation signifies that an individual has met initial and on-going experience, ethical, education, and examination requirements for the professional designation, which is centered on private wealth management topics and strategies for high-net-worth clients. Prerequisites for the CPWA designation are a Bachelor's degree from an accredited college or university or one of the following designations or licenses: CIMA®, CIMC®, CFA®, CFP®, ChFC®, or CPA license; have an acceptable regulatory history as evidenced by FINRA Form U-4 or other regulatory requirements and five years of experience in financial services or delivering services to high-net-worth clients. CPWA designees have completed a rigorous educational process that includes self-study requirements, an in-class education component, and successful completion of a comprehensive examination. CPWA designees are required to adhere to IMCA's Code of Professional Responsibility and Rules and Guidelines for Use of the Marks. CPWA designees must report 40 hours of continuing education credits, including two ethics hours, every two years to maintain the certification. The designation is administered through Investment Management Consultants Association (IMCA).

***CERTIFIED FINANCIAL PLANNER® (CFP®)**

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.





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Vestia Advisors, LLC, DBA Vestia
Personal Wealth Advisors, an SEC
Registered Investment Advisor