HBW ADVISORY SERVICES CONTACTS AND DUTIES

JOE.BONANNO@HBWADVISORY.COM
President/ Chief Investment Officer
(805) 702-3417
HBW Advisory related questions or investment strategies
Client portfolio reviews

LISA.BETANCES@HBWADVISORY.COM
Controller & Senior VP, Admininstration
(805) 702-3250
HBW Advisory related Compensation/ Tax Forms (1099s)
Fee Processing

TODD.PENROD@HBWADVISORY.COM
Chief Compliance Officer
(805) 443-4888
U4 updates
ADV change requests
Advertising approvals
Independent Website and Social Media Approval
Outside business activities (OBAs)
Personal Securities Account Statements
Customer complaints
Compliance questions
Schwab login and advisor code requests
iRebal authorizations
Office Inspections

LISA.GILMORE@HBWADVISORY.COM
Lisa Gilmore - Compliance Officer
(805) 702-3443
Account paperwork and trade approval
Pre-registration
Licensing and Renewals
Resident/office address changes

MANU.BATSON@HBWADVISORY.COM
Manu Batson - Client Services Liaison
(805) 702-3452
Beneficiary distribution request
Account liquidation request
EZ IRA distribution rquest (if ACH/wire must include voided check)
IRA distribution request (if ACH/wire must include voided check)
Non-retirement account distribution request (if ACH/wire must include voided check)
Qualified plan account distribution request (distribution form for solo K's only)
Systematic distribution requests (if ACH/wire must include voided check)
Model re-allocation requests
Transfer Out
Daily deposit investment

TRADES@HBWADVISORY.COM
Gabrielle Hart - Compliance Analyst
(805)702-8572
New & subsequent trade submissions
Any/all checks that reps receive and mail on behalf of their clients
Entity account application
IRA beneficiary designation or change request
IRA systematic and one-time ACH contribution request
Systematic contributions, advisor authorizations for contributions/distributions
Non-retirement account one time ACH deposit request (must include voided check)
Non-retirement account systematic contribution requests (if ACH/wire must include voided check)
Power of attorney form (must have copy of complete notarized power of attorney)
SOLO 401K adoption agreement (accompany the entity application and 5A must be completed)
Transfer on death (TOD) designation (do not include acct owners as bene.)

SHANNON.KENT@HBWADVISORY.COM
Shannon Kent - HR Personnel Manager/ Administrative Coordinator
(805) 702-3445
Assist with E-documents Liberty
Change certification, indemnity and agreement
CIP letter and required documentation
Transfer-in request (current account statement required) AND followup
Etrade, Schwab and Email Password reset
Client address /email changes
Questions on which forms to use for particular situations
Change of beneficiary including TOD forms
New or changes to automatic deposits or withdrawls
Cash deposits research
Advisor authorization for distribution (must include voided check)
Liberty login issues
Statement family request
Orion Fee Schedules & householding

SARAH.LINDER@HBWADVISORY.COM
Sarah Linder - Finance Controller Coordinator
(805) 702-3445
Review and approve fee invoices