



Form ADV Part 2A / Client Brochure

Convexity Wealth Management, LLC

March 30, 2026 • CRD# 327183

600 Stewart St., Ste 400, Seattle, WA 98101

www.convexitywm.com • (206) 395-5697

This brochure provides information about the qualifications and business practices of Convexity Wealth Management, LLC. If you have any questions about the contents of this brochure, please contact us at contact@convexitywm.com. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority. Registration does not imply a certain level of skill or training.

Additional information about Convexity Wealth Management, LLC, also is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 / Material Changes

As required by registration with a state(s) securities authority, investment advisors must update the information within their brochure to accurately record changes annually and or other-than-annually.

There are no material changes to the Firm brochure as of the most recent filing.

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Item 4 / Advisory Business

A. FIRM DESCRIPTION

Convexity Wealth Management, LLC, (also referred to as "Convexity Wealth Management", "Convexity", or "the Firm") provides financial advisory services and portfolio management for its clients. Convexity Wealth Management was formed in 2023 and became registered as an investment adviser in 2024. Mr. James Petricciani is Principal Member and CCO.

B. SERVICES DESCRIPTION

Convexity Wealth Management provides financial advisory services and portfolio management. The Firm uses a risk-based diversification strategy to construct client portfolios that have convex payoff structures (hence the name, Convexity). The investment strategy that the Firm uses relies on the diversification of risk. This type of strategy is accomplished through the allocation of a portfolio, so every individual part of the portfolio (investments held in the portfolio) contributes the same amount of risk to the portfolio. This results in a portfolio that is more efficient from a return-for-risk-taken perspective, having a convex payoff structure. In the construction of a portfolio for a client, Convexity primarily uses funds including mutual funds and exchange-traded funds (ETFs), or only ETFs. The Firm allocates portfolios among several mutual funds and/or exchange-traded funds at the asset class level. These include funds that track equity sectors and bonds. If it were necessary, if the Firm is not able to achieve the diversification exposure that it seeks and that is required to construct the Client portfolio by using only ETFs and mutual funds, an individual equity position may be used in a complementary fashion; an individual equity would be included in the portfolio to complement the ETF and mutual fund positions. Clients may impose restrictions on investing in certain securities or types of securities if they so desire, but this may result in the Firm not being able to provide its services as effectively as if the restriction was not imposed.

Convexity Wealth Management offers financial planning services to help clients achieve their long-term financial goals. The Firm provides reviews of client financial background data to forecast a range of financial scenarios at a point in time in the future. If the forecast does not match the Client's goal, Convexity advises the Client on steps the Client can take to improve the chances of achieving its goal.

Neither the Firm, nor an affiliate or associated person of the Firm, will receive commissions from the sale of insurance or real estate or will receive fees or other compensation from the sale of securities or other products or services recommended in the financial plan or otherwise. The Client has no obligation to act on the Firm's or any associated person's recommendation. If the Client elects to act on any of the recommendations, the Client is under no obligation to effect the transaction through the Firm or the associated person when such person is employed as an agent with a licensed broker-dealer or is licensed as a broker-dealer or through any associate or affiliate of such person.

C. TAILORED SERVICES

If the Client has pre-existing investments, then the risk and cost-basis of those investments are evaluated to determine if they can be incorporated into the portfolio to be constructed.

D. WRAP FEE PROGRAMS

Convexity Wealth Management does not participate in a wrap fee program.

E. ASSETS UNDER MANAGEMENT

On a discretionary basis, Convexity Wealth Management manages \$63,948,214.49. This total is calculated using the closing U.S. market prices from September 30, 2025. Convexity Wealth Management does not manage assets on a nondiscretionary basis.

Item 5 / Fees and Compensation

A. COMPENSATION

The Firm offers two management fees for its portfolio management services. The first fee is 0.50% for general savings assets and post-tax retirement assets. The second fee is 0.315% for pre-tax retirement assets. The following provides a more detailed explanation of fees:

General Savings Assets & Post-Tax Retirement Assets:

Convexity Wealth Management charges an annual fee rate of 0.50% of the total of the Client's general savings assets and post-tax retirement assets under management. The Firm calculates the advisory fee, which is equal to the fee rate multiplied by the market value of the Client's assets under management on a quarterly basis. In computing the market value of any investment contained in the account, each security listed on any national securities exchange shall be valued at the last quoted sale price on the valuation date on the principal exchange on which such security is traded. The Firm administers the advisory fee quarterly. The calculation to determine the advisory fee is done by multiplying 0.125% (one quarter of the 0.50% annual fee rate) by the total of the Client's assets under management at the end of the quarter.

Pre-Tax Retirement Assets:

Convexity Wealth Management charges an annual fee rate of 0.315% of the total of the Client's pre-tax retirement assets under management. The fee of 0.315% is equal to the 0.50% fee minus 0.185%. The difference of 0.185% represents a discount of 37%, which is equal to the maximum income tax bracket. The reason for this is that pre-tax assets are taxed upon distribution so we reduce our fee by the maximum amount the Client may pay in tax. The Firm calculates the advisory fee, which is equal to the fee rate multiplied by the market value of the Client's assets under management on a quarterly basis. In computing the market value of any investment contained in the account, each security listed on any national securities exchange shall be valued at the last quoted sale price on the valuation date on the principal exchange on which such security is traded. The Firm administers the advisory fee quarterly. The calculation to determine the advisory fee is done by multiplying 0.07875% (one quarter of the 0.315% annual fee rate) by the total of the Client's assets under management at the end of the quarter.

In the initial quarter and final quarter that the Client account is under management, the fee rate is applied only to those days that the Client account is under management within that quarter and not to any days that it is not. Convexity Wealth Management does not negotiate compensation but allows the possibility of changing the fee schedule in the future at the discretion of the Firm. Any changes to the fee would need written approval by the Client in a new contract or amendment to the existing contract. Convexity Wealth Management's fees are not charged in advance and are charged to clients quarterly. Lower fees for comparable services may be available from other sources.

Financial Planning Services:

There is no fee for financial planning services; financial planning is included in the portfolio management services (described above) fee with no additional cost.

Tailored Services:

There is no fee for tailored services; the tailored services that the firm offers are included in the portfolio management services fee (described above) with no additional cost.

B. FEE COLLECTION

The Firm does not bill clients directly. Advisory fees incurred are billed to clients through a third party. Convexity Wealth Management does not charge in advance and bills its clients on a quarterly basis. Clients receive their bill in the form of an email invoice at an email address provided by the Client. Each time the Adviser charges a fee, the Adviser will send the Client a written invoice, including the fee, the formula used to calculate the fee, the fee calculation itself, the time period covered by the fee, and, if applicable, the amount of assets under management on which the fee was based. Also, the Adviser will include the name of the custodian(s) on the fee invoice. The Adviser will send these to the Client concurrent with the request for payment or payment of the Adviser's advisory fees. We urge the Client to compare this information with the fees listed in the account statement. Within the email invoice the Client is provided with a pdf of the invoice and a link to pay the Advisory fee bill. By clicking the link, the Client is redirected to a third party to pay the Advisory fee bill by selecting a method of payment which includes credit cards, debit cards, and ACH bank transfers. The third party provides a secure link for the Client to complete the payment. The security precautions that the third party takes include payment data encryption, PCI DSS (Payment Card Industry Data Security Standard) compliance, and a secure login portal to the Client's bank for ACH payments.

The Client's method of payment information is stored with the third party and is not known by Convexity Wealth Management. Clients may choose to have the third party store their credit or debit card information for the purpose of automatic billing of future invoices to their card held on file with the third party. The Firm retains the right to in the future change its fee collection process. Any changes to the fee collection process would need written approval by the Client in a new contract or amendment to the existing contract.

C. OTHER ACCOUNT FEES

Convexity Wealth Management is a "fee only" investment advisor and other than the advisory fee described above neither the Firm nor any of its affiliated persons receive or accept any direct or indirect compensation related to investments that are purchased or sold for client accounts and/or clients. Convexity Wealth Management does not sell any products or services that create additional fees or compensation to benefit Convexity Wealth Management or its affiliated persons other than those described in this Brochure and on the Site. Additionally, no affiliated persons of Convexity Wealth Management charge fees for the sale of any service or product to create additional compensation to benefit Convexity Wealth Management or itself under the guise that the fee for the product or service is a part of those that Convexity Wealth Management charges fees for. Clients incur management fees from their investment in those mutual funds and/or exchange-traded funds that the Firm uses to build portfolios for its clients. Product management fees or other fund expenses are disclosed in fund prospectuses. Please see Item 12 for information regarding brokerage practices. Clients will incur brokerage and other transaction costs.

D. ADVANCED FEE COLLECTION

Convexity Wealth Management does not collect fees in advance and advisory fees incurred are billed to clients.

E. OTHER COMPENSATION

Convexity Wealth Management does not accept or garner compensation for the sale of securities or other investment products, including asset-based sales charges or service fees from the sale of mutual funds.

Item 6 / Performance-Based Fees and Side-By-Side Management

Convexity Wealth Management does not charge performance-based fees. Our advisory fees are only those as disclosed above in Item 5.

Item 7 / Types of Clients

Convexity Wealth Management provides and offers its services to individuals and high net worth individuals. The Firm may offer its services to non-retail clients in the future. The Firm is not requiring a minimum account size at this time but may establish a minimum account size in the future.

Item 8 / Methods of Analysis, Investment Strategies and Risk of Loss

A. METHOD OF ANALYSIS

Convexity Wealth Management provides financial advisory services and portfolio management. The Firm uses a risk-based diversification strategy to construct client portfolios that have convex payoff structures (hence the name, Convexity). The investment strategy that the Firm uses relies on the diversification of risk. This type of strategy is accomplished through the allocation of a portfolio, so every individual part of the portfolio (investments held in the portfolio) contributes the same amount of risk to the portfolio. This results in a portfolio that is more efficient from a return-for-risk-taken perspective, having a convex payoff structure. In the construction of a portfolio for a client, Convexity primarily uses funds including mutual funds and exchange-traded funds (ETFs), or only ETFs. The Firm allocates portfolios among several mutual funds and/or exchange-traded funds at the asset class level. These include funds that track equity sectors and bonds. If it were necessary, if the Firm is not able to achieve the diversification exposure that it seeks and that is required to construct the Client portfolio by using only ETFs and mutual funds, an individual equity position may be used in a complementary fashion; an individual equity would be included in the portfolio to complement the ETF and mutual fund positions.

This type of strategy does not remove the risk of loss when investing as there is inherent risk of loss in investing in securities. The Client should be prepared to bear that loss.

B. RISK CONSIDERATIONS

Convexity Wealth Management cannot and does not guarantee any level of performance or that any client will not incur a loss of their account assets. Investing in securities involves the risk that the security will lose value and the Client should be prepared to bear that loss.

All investments involve risk. Convexity Wealth Management does not guarantee the results of any advice given. Significant losses can occur by investing in any security, or by following any strategy, including the strategy recommended by Convexity Wealth Management.

C. SECURITY RISKS

Convexity Wealth Management recommends mutual funds, exchange-traded funds (ETFs), and occasionally individual equities as the securities with which to create portfolios. As with all investments the Client takes risks when investing in mutual funds, ETFs, and individual equities as well. Losses can occur by investing in any security, including those recommended by Convexity Wealth Management. The material risk to investing in mutual funds and ETFs is primarily systemic risk. That is to say that because mutual funds and ETFs generally hold many securities there is a level of diversification benefit inherent to mutual funds and ETFs such that the idiosyncratic risk that is inherent to individual equities is reduced. Systemic risk is risk that comes from the overall performance of a given economy whether it is regional or global. Idiosyncratic risk is risk that is unique to any individual security such as a stock. Idiosyncratic risk can be reduced through diversification, and this is why Convexity almost always recommends investing using mutual funds and ETFs.

Item 9 / Disciplinary Information

Convexity Wealth Management LLC does not have any disciplinary item such as any criminal item, regulatory item, including administrative proceedings before the SEC, any other federal regulatory agency, any state regulatory agency, any foreign financial regulatory authority, or any civil judicial item to report.

Item 10 / Other Financial Industry Activities and Affiliations

A. BROKER-DEALER AFFILIATIONS

Neither Convexity Wealth Management LLC, nor any management persons, nor any affiliated persons of the Firm have an application pending to register or have registered as a broker-dealer or as a representative of a broker-dealer.

B. COMMODITY AND FUTURES AFFILIATIONS

Neither Convexity Wealth Management LLC, nor any management persons, nor any affiliated persons of the Firm have an application pending to register or have registered as a futures commission merchant, commodity pool operator, or commodity trading advisor, nor is any affiliated person of the Firm registering or has registered for any of the foregoing activities.

C. MATERIAL ARRANGEMENTS AND RELATIONSHIPS

Convexity Wealth Management's clients utilize the services of Vanguard and Charles Schwab, but the Firm has no material relationship with either.

D. OTHER RECOMMENDATIONS

The Firm does not recommend or select other investment advisors for its clients for compensation directly or indirectly from those advisors, nor does Convexity Wealth Management have other business relationships with exogenous advisors that create material conflict of interest.

Item 11 / Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

A. CODE OF ETHICS

Convexity Wealth Management has adopted and implemented a Code of Ethics and will provide a copy of that code to any client or prospective client upon request. The Code establishes rules of conduct for all affiliates of Convexity Wealth Management. The Code is based on the principle that Convexity Wealth Management has a fiduciary duty to its clients, which is to put the Client's interest first and includes, but is not limited to, a duty of care, loyalty, obedience, and utmost good faith.

B. MATERIAL FINANCIAL INTERESTS

The Firm nor any related persons of the Firm recommend to clients or buy or sell for client accounts securities in which the Firm or any related person of the Firm has a material financial interest.

C. PARTICIPATION OR INTEREST IN CLIENT TRANSACTIONS AND PERSONAL TRADING

The Firm does not invest its assets in the same securities that it advises Client assets are invested in.

D. TIMING CONFLICTS OF INTEREST

There are no timing conflicts of interest as trades for the Firm's account are uncoordinated with trades for client accounts.

Item 12 / Brokerage Practices

A. BROKERAGE PRACTICES

Convexity Wealth Management conducts transactions through Vanguard and Charles Schwab, which provide trade execution and clearing services. Convexity Wealth Management does not engage in any "soft dollar" practices involving the receipt of research or other brokerage service in relation to client commission money, nor does the Firm receive any research or other products in connection with client transactions. Neither the Firm nor any related persons of the Firm receive client referrals from a broker-dealer or third party. Convexity Wealth Management currently uses Vanguard as a brokerage because of its reputation, the liquidity and affordability of the securities offered and used to construct portfolios, and the ability to attain risk exposures necessary to construct portfolios.

B. DIRECTED BROKERAGE

Convexity Wealth Management requests that its clients direct the Firm to execute transactions through Vanguard. Not all advisers require their clients to direct brokerage. The Firm and Vanguard do not have any economic relationship that creates a conflict of interest. By directing brokerage, the Firm may not be able to achieve the most favorable execution of client transactions and this practice may cost clients. The Firm does not aggregate the purchase or sale of securities for multiple client accounts. By not aggregating the purchase or sale of securities for multiple clients' accounts the execution of those purchase and sale orders are more easily transacted as very large quantity buy or sell orders are less likely to have opposing sell or buy orders. The cost to not aggregating orders is any delay in transaction, but this cost is minimized given the depth of liquidity of the securities.

Item 13 / Review of Accounts

The Firm reviews client accounts on a periodic basis, of at least a monthly frequency, for the purposes of monitoring the performance of the account, and for determining rebalancing and tax-loss harvesting opportunities. Mr. James Petricciani, Principal Member conducts the reviews.

When reviewing on an other-than-periodic basis there is no specific triggering factor, rather a general factor which is to maintain current knowledge of the Client's account. Additionally, if a Client were to request anything that would require the Firm to review their account for the Firm to complete the request, this would be a triggering factor for an other-than-periodic review.

The Firm provides reports and the Firm's account custodians, Vanguard and Charles Schwab, provides Clients with written performance reports. Clients can also view the asset mix and investment cost of their accounts within their custodian profile. Additionally, the account custodian provides composition analysis on Client investments.

Item 14 / Client Referrals and Other Compensation

The Firm accepts no economic benefit from third parties for providing investment advice or other advisory services to its clients. The Firm does not currently compensate third parties for client referrals. If this changes in the future compensation of third parties for referrals would be determined on a case-by-case basis. Additionally, the Firm will ensure that solicitors that receive a fee for client referrals are registered or exempt from registration as investment advisers or investment adviser representatives.

Item 15 / Custody

The Firm does not maintain custody of client assets. Vanguard and Charles Schwab are the custodians for client assets. Clients are encouraged to carefully review their statements as well as compare the statements received from the qualified custodian with invoices and any reports that are received from Convexity Wealth Management.

Item 16 / Investment Discretion

Convexity Wealth Management accepts discretionary authority to manage securities accounts on behalf of clients and manages accounts solely on a discretionary basis.

The Firm accepts the authority through Vanguard Limited Agent Authorization, which authorizes the Firm to do the following:

- Purchase, sell, and trade in stocks, bonds and other securities and contracts relating to the same.
- Request that distributions from client accounts be payable to the Client and sent to the Client's address or bank account of record.
- Obtain information on the Client's Vanguard mutual fund and Vanguard Brokerage Services account(s), including historical account information.

Through Limited Agent Authorization Convexity Wealth Management does NOT have the authority to do the following:

- Change the address of record or bank information of the Client's account.
- Transfer or invest assets into a different registration.
- Redeem assets by phone, online, or by wire transfer to anyone other than the Client or to anywhere other than the Client's address of record.
- Use check writing privileges on the Client's account.
- Add, change, or delete the beneficiary designations.
- Sign a new account application or otherwise open a new registration on behalf of the Client.
- Sign any tax information or reporting form required by federal or state taxing authorities, including IRS Form W-9 and any substitute IRS Form W-9; and request distribution form a Vanguard Brokerage Option plan account.

The Firm accepts the authority through Charles Schwab Limited Power of Attorney, which authorizes the Firm to do the following:

Trading Authorization. If I have indicated on this LPOA that the Investment Advisor (IA) named above, which I understand may be referred to as "Investment Advisor" or "IA" in other documentation relating to my Account, I authorize Schwab to accept instructions from the IA regarding my Account, and to take all other actions necessary or incidental to the execution of such instructions, as IA shall direct. Schwab, and other people to whom Schwab has given instructions to implement the IA's instructions, may rely on IA's instructions without obtaining my approval, counter-signature or co-signature. IA's authority will include, without limitation other than my Retirement Plan's trading restrictions, the authority to give instructions for transactions in securities and financial instruments, including the buying and selling of stocks, bonds, debentures, notes, subscription warrants, stock purchase warrants, covered options (if my Plan allows and if I have authorized trading covered options, and only up to my approved level of options trading strategy), mutual fund shares, evidences of indebtedness and any other securities, instruments or contracts relating to securities.

Item 17 / Voting Client Securities

Convexity Wealth Management does not, nor will it accept authority to vote client securities. Additionally, the Firm does not receive client proxies or other solicitations from the custodian or transfer agent, or from any other third party. Clients will receive proxies or other solicitation from the custodian. If a client receives solicitations from a third party the Client may contact the Firm, but the Firm does not accept any liability, obligation or responsibility associated with the third party and or the solicitation.

Item 18 / Financial Information

Convexity Wealth Management has no financial condition that is likely to impair its ability to meet contractual commitments to its clients. The Firm has never been subject to a bankruptcy petition at any time in the past ten years. The Firm maintains discretionary authority over client Accounts. The Firm does not maintain custody of client accounts, funds, or securities, and the Firm does not require or solicit prepayment of more than \$500 in fees per Client, six months or more in advance.

Item 19 / State Registration Requirements

Principal executive officer and management person education and background business information may be found in Form ADV Part 2B. Neither the Firm, nor any principal executive officer or management person is actively engaged in other businesses. Neither the Firm, nor any supervised persons are compensated for advisory services with performance-based fees.

Neither the Firm, nor any management person at the Firm has been involved in any events in which they have been found liable in an arbitration claim involving an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. Nor has the Firm nor any management person at the Firm been found liable in a civil, self-regulatory organization, or administrative proceeding involving an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices.

Any material conflicts of interest between the Firm and the Client have been disclosed within this brochure, including the supplement to the brochure. The Firm maintains a business continuity plan as a precautionary measure for the purpose of providing risk assessment and operational guidelines within the context of those risks faced by the Firm.

Neither the Firm, nor any management person(s) within the Firm have any arrangement or relationship with any issuer of securities.

Form ADV Part 2B / Brochure Supplement

March 30, 2026 • CRD# 327183

600 Stewart St., Ste 400, Seattle, WA 98101

www.convexitywm.com • (206) 395-5697

Supervised Person • James Petricciani, CRD #5282369

This brochure supplement provides information about James Petricciani that supplements the Convexity Wealth Management, LLC brochure. You should have received a copy of the Convexity Wealth Management brochure. Please contact James Petricciani, Principal Member, at contact@convexitywm.com if you did not receive a brochure or if you have any questions about the contents of this supplement.

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

James Petricciani / 1983

EDUCATION

- 2012 Santa Clara University Leavey School of Business, MBA Finance
 - 2006 Gonzaga University, BS Economics, Minor History
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BUSINESS BACKGROUND

- 2023 – Present Principal Member, Convexity Wealth Management, LLC
 - 2014 – 2022 Managing Partner, 2nd St. Capital Management, LLC.
 - 2012 – 2014 Portfolio Analyst, Square 1 Bank
-

DISCIPLINARY INFORMATION

Criminal or Civil Action

There are no criminal or civil proceedings associated with the supervised person.

Administrative Proceedings

There are no administrative proceedings associated with the supervised person.

SRO Proceedings

There are no SRO proceedings associated with the supervised person.

Other Hearings and Adjudications

There are no other hearings or adjudications of a professional attainment, designation, or license associated with the supervised person.

OTHER BUSINESS ACTIVITIES

Active Engagement in Other Investment-Related Business

The supervised person is not actively engaged in any other investment-related business.

Active Engagement in Other Business

The supervised person is not engaged in any other business.

ADDITIONAL COMPENSATION

The supervised person receives no additional compensation.

SUPERVISION

Mr. Petricciani is Founder and Principal Member of Convexity Wealth Management, LLC and is not subject to additional supervision. Mr. Petricciani will adhere to the Firm's code of ethics, follow applicable rules and regulations, etc., to address self-supervision. Mr. Petricciani can be reached at james@convexitywm.com or (206) 395-5697.

REQUIREMENTS FOR STATE-REGISTERED ADVISERS

The supervised person has never been involved with an award or otherwise have been found liable in an arbitration claim alleging damages more than \$2,500 involving any of the following: an investment or investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. The supervised person has never been involved with an award or otherwise have been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following: an investment or investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. The supervised person has never been the subject of a bankruptcy petition.

Form ADV Part 2B / Brochure Supplement

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Supervised Person • George Chacko, CRD #4930341

This brochure supplement provides information about George Chacko that supplements the Convexity Wealth Management, LLC brochure. You should have received a copy of the Convexity Wealth Management brochure. Please contact James Petricciani, Principal Member, at contact@convexitywm.com if you did not receive a brochure or if you have any questions about the contents of this supplement.

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

George Chacko / 1967

EDUCATION

1997 Harvard University, M.A., Ph.D., Business/Managerial Economics
1992 University of Chicago, M.B.A., Accounting and Finance
1989 MIT, B.S., Electrical and Electronics Engineering

BUSINESS BACKGROUND

2025 – Present Member, Convexity Wealth Management LLC
2008 – 2010 Chief Investment Officer, Auda International
2005 – 2008 Registered Rep, IFL Capital
2005 – 2005 Managing Director, State Street Global Markets LLC
2004 – 2005 Managing Director, State Street Bank and Trust

DISCIPLINARY INFORMATION

Criminal or Civil Action

There are no criminal or civil proceedings associated with the supervised person.

Administrative Proceedings

There are no administrative proceedings associated with the supervised person.

SRO Proceedings

There are no SRO proceedings associated with the supervised person.

Other Hearings and Adjudications

There are no other hearings or adjudications of a professional attainment, designation, or license associated with the supervised person.

OTHER BUSINESS ACTIVITIES

Active Engagement in Other Investment-Related Business

The supervised person is not actively engaged in any other investment-related business.

Active Engagement in Other Business

The supervised person is not engaged in any other business.

ADDITIONAL COMPENSATION

The supervised person receives no additional compensation.

SUPERVISION

Mr. Chacko is a Member of Convexity Wealth Management, LLC and will adhere to the Firm's code of ethics, follow applicable rules and regulations, etc., to address supervision. Regarding Mr. Chacko, please contact the firm at contact@convexitywm.com or (206) 395-5697.

REQUIREMENTS FOR STATE-REGISTERED ADVISERS

The supervised person has never been involved with an award or otherwise have been found liable in an arbitration claim alleging damages more than \$2,500 involving any of the following: an investment or investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. The supervised person has never been involved with an award or otherwise have been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following: an investment or investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. The supervised person has never been the subject of a bankruptcy petition.