



Longhouse Investments LLC DBA  
Longhouse Wealth Management  
CRD# 298119  
26050 Acero  
Mission Viejo, CA 92691  
(949) 542-2394  
[www.longhouseinvestments.com](http://www.longhouseinvestments.com)  
[www.longhousewm.com](http://www.longhousewm.com)

**September 19th, 2019**

## **Form ADV Part 2B**

This Brochure provides information about the qualifications of Dean Ferraro (CRD 6806498), John Ferraro (CRD 6991644) and the business practices of Longhouse Wealth Management. If you have any questions about the contents of this Brochure, please contact us at (949) 542-2394 or [contact@longhousewm.com](mailto:contact@longhousewm.com). The information in this brochure has not been approved or verified by the California Department of Business Oversight nor any state securities authority.

Longhouse Wealth Management is a Registered Investment Adviser. Registration of an Investment Adviser does not imply any level of skill or training. Additional information about Longhouse Wealth Management is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

LONGHOUSE WEALTH MANAGEMENT  
Part 2B of Form ADV - Brochure

---

## Table of Contents

---

<b>Item 1 - Cover Page</b>	<b>0</b>
<b>Form ADV Part 2B</b>	<b>0</b>
<b>Table of Contents</b>	<b>1</b>
<b>Dean V Ferraro</b>	<b>2</b>
<b>Item 2 Educational Background and Business Experience</b>	<b>2</b>
Education and Business Experience	2
Designations	2
<b>Item 3 Disciplinary Information</b>	<b>3</b>
<b>Item 4 Other Business Activities</b>	<b>3</b>
Investment-Related Activities	3
Non-Investment-Related Activities	3
<b>Item 5 Additional Compensation</b>	<b>3</b>
<b>Item 6 Supervision</b>	<b>3</b>
<b>Item 7 Requirements for State-Registered Advisers</b>	<b>3</b>
Section A	3
<b>Additional Licensing Information</b>	<b>4</b>
EA Program Description from irs.gov for Form ADV Part 2B	4
<b>John M Ferraro</b>	<b>5</b>
<b>Item 2 Educational Background and Business Experience</b>	<b>5</b>
Education and Business Experience	5
Designations	5
<b>Item 3 Disciplinary Information</b>	<b>5</b>
<b>Item 4 Other Business Activities</b>	<b>5</b>
Investment-Related Activities	5
Non-Investment-Related Activities	5
<b>Item 5 Additional Compensation</b>	<b>6</b>
<b>Item 6 Supervision</b>	<b>6</b>
<b>Item 7 Requirements for State-Registered Advisers</b>	<b>6</b>
Section A	6
<b>Appendix</b>	<b>6</b>
Supervision	6

LONGHOUSE WEALTH MANAGEMENT  
Part 2B of Form ADV - Brochure

Dean V Ferraro

Item 2 Educational Background and Business Experience

Born in 1982.

Education and Business Experience

Franciscan University of Steubenville; BA, Biology; 2008

From	To	Name of Firm or Company	Address	Investment Related	Position Held
06/2018	PRESENT	Longhouse Wealth Management	Mission Viejo, CA United States	Yes	CEO, Investment Advisor Representative
06/2014	PRESENT	Authoritax	Lake Forest, CA United States	No	Owner
11/2017	09/2018	HD Vest Investment Services	Menifee, CA United States	Yes	Registered Representative
10/2010	06/2014	Dean Ferraro	Mission Viejo, CA United States	No	Owner, e-business development
04/2008	10/2010	Southern California Edison San Onofre Nuclear Generating Station	Pendleton, CA United States	No	Technician Apprentice Instrument

Designations

Dean V Ferraro has earned the following designation(s) and is in good standing with the granting authority:

Enrolled Agent; Internal Revenue Service; 2014

\*For more information on the qualifications of this designation, please see the Appendix entitled, "EA Program Description for Form ADV Part 2B."

### Item 3 Disciplinary Information

Dean V Ferraro has no reportable disciplinary history or material facts to report.

### Item 4 Other Business Activities

#### Investment-Related Activities

Dean V Ferraro has no other business-related investment activities nor affiliations.

#### Non-Investment-Related Activities

Other Business Activities (OBA) of Dean Ferraro:

1. He is the owner of Authoritax, a provider of tax preparation, tax audit and tax planning services to individuals and small businesses. Authoritax does not have signatory authority for any client of LHWM's or for LHWM itself as an entity. There is no written business arrangement nor referral contract between Authoritax and LHWM to share in any business. Since tax services are not in direct competition with the securities and advisory businesses nor share in any commission structure, LHWM believes that disclosing this OBA relationship is done sufficiently by delivering Form ADV Part 2A to its prospective or current clients. He spends two hours per day, outside of trading hours, to manage the business.
2. Dean Ferraro is an Enrolled Agent. Dean has the ability to practice before the IRS in administrative proceedings against taxpayers. He does this type of work on behalf of Authoritax outside of trading hours.

### Item 5 Additional Compensation

Dean V Ferraro does not receive any economic benefit from a non-advisory client for the provision of advisory services.

### Item 6 Supervision

Dean Ferraro is LHWM's CEO, CCO and investment advisor representative.

Dean Ferraro is supervised by John M. Ferraro.

### Item 7 Requirements for State-Registered Advisers

#### Section A

*In addition to the events listed in Item 3 of Part 2B, if the supervised person has been involved in one of the events listed below, disclose all material facts regarding the event.*

# LONGHOUSE WEALTH MANAGEMENT

## Part 2B of Form ADV - Brochure

---

1. *An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:*
  - a. *an investment or an investment-related business or activity;*
  - b. *fraud, false statement(s), or omissions;*
  - c. *theft, embezzlement, or other wrongful taking of property;*
  - d. *bribery, forgery, counterfeiting, or extortion;*
  - e. *or dishonest, unfair, or unethical practices.*
2. *An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:*
  - a. *an investment or an investment-related business or activity;*
  - b. *fraud, false statement(s), or omissions;*
  - c. *theft, embezzlement, or other wrongful taking of property;*
  - d. *bribery, forgery, counterfeiting, or extortion; or*
  - e. *dishonest, unfair, or unethical practices.*

Dean V Ferraro has no events nor material facts to disclose in this section nor has he been the subject of a bankruptcy petition.

## Additional Licensing Information

### **EA Program Description from [irs.gov](https://www.irs.gov) for Form ADV Part 2B**

<https://www.irs.gov/tax-professionals/enrolled-agents/enrolled-agent-information>

#### **What is an Enrolled Agent?**

An enrolled agent (EA) is a tax professional who has demonstrated special competence in tax preparation and representation matters, in most cases by passing a comprehensive examination or, in some cases, by virtue of specialized tax law experience as a former IRS employee. Enrolled agents apply for enrollment, pass suitability checks, and are issued an enrollment card. Learn more at [www.irs.gov/taxpros/agents](https://www.irs.gov/taxpros/agents).

#### **What Distinguishes an Enrolled Agent from other Tax Professionals?**

The EA license is issued to tax professionals by the IRS. An EA has passed a three-part Special Enrollment Examination (SEE) administered by the IRS, which is a comprehensive exam that requires them to demonstrate proficiency in federal tax planning, individual and business tax return preparation, and representation.

Enrolled agents generally have unlimited practice rights, meaning they can represent any taxpayer regarding any tax matter before any IRS office.

## John M Ferraro

### Item 2 Educational Background and Business Experience

Born in 1956.

#### Education and Business Experience

California State University, Long Beach; BS, Electrical Engineering, 1982

<b>From</b>	<b>To</b>	<b>Name of Firm or Company</b>	<b>Address</b>	<b>Investment Related</b>	<b>Position Held</b>
12/2018	PRESENT	Longhouse Wealth Management	Mission Viejo, CA United States	Yes	CIO, Investment Advisor Representative
06/2015	12/2018	Retired	Menifee, CA	No	None
06/1979	06/2015	Hughes Aircraft, Raytheon	El Segundo, CA United States	No	Senior Principal Scientist Engineer

#### Designations

John M Ferraro has no current professional designations.

### Item 3 Disciplinary Information

John M Ferraro has no reportable disciplinary history or material facts to report.

### Item 4 Other Business Activities

#### Investment-Related Activities

John M Ferraro has no other business-related investment activities nor affiliations.

#### Non-Investment-Related Activities

John M. Ferraro has no other reportable Other Business Activities (OBA).

## Item 5 Additional Compensation

John M. Ferraro does not receive any economic benefit from a non-advisory client for the provision of advisory services.

## Item 6 Supervision

John Ferraro is one LHWM's principals, co-owner, CIO and an investment advisor representative. Dean Ferraro is responsible for John's supervision.

## Item 7 Requirements for State-Registered Advisers

### Section A

*In addition to the events listed in Item 3 of Part 2B, if the supervised person has been involved in one of the events listed below, disclose all material facts regarding the event.*

3. *An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:*
  - a. *an investment or an investment-related business or activity;*
  - b. *fraud, false statement(s), or omissions;*
  - c. *theft, embezzlement, or other wrongful taking of property;*
  - d. *bribery, forgery, counterfeiting, or extortion;*
  - e. *or dishonest, unfair, or unethical practices.*
4. *An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:*
  - f. *an investment or an investment-related business or activity;*
  - g. *fraud, false statement(s), or omissions;*
  - h. *theft, embezzlement, or other wrongful taking of property;*
  - i. *bribery, forgery, counterfeiting, or extortion; or*
  - j. *dishonest, unfair, or unethical practices.*

John M Ferraro has no events nor material facts to disclose in this section nor has he been the subject of a bankruptcy petition.

## Appendix

### Supervision

Longhouse Wealth Management has adopted written policies and procedures which are designed to set standards and internal controls for the firm, its employees, and its businesses and are also reasonably designed to detect and prevent any violations of regulatory requirements and the firm's policies and procedures. Every employee and manager is required to be responsible for and monitor those individuals and departments he or she supervises to detect, prevent and report any activities inconsistent with the firm's procedures, policies, high professional standards, or legal/regulatory requirements.

# LONGHOUSE WEALTH MANAGEMENT

## Part 2B of Form ADV - Brochure

---

Longhouse Wealth Management's Compliance Department, in conjunction with Management, are primarily responsible for the development and implementation of appropriate policies and procedures. Monitoring systems are tailored to particular policies and procedures, the manner and frequency of testing varies as appropriate.

These compliance procedures include the reporting of violations or errors to designated personnel. After any preliminary due diligence and investigation, matters are corrected or resolved in an appropriate manner, which will vary depending on, among other things, the nature and severity of the violation. Longhouse Wealth Management senior management may be involved for significant errors or violations.