

# Form ADV Part 2A Brochure

## ViaWealth, LLC (f/k/a “Virtix Investment Advisors LLC”)

10346 State Line Road, Suite 200

Leawood, KS 66206

[www.ViaWealth.com](http://www.ViaWealth.com)

844-484-7849

September 24, 2021

This Brochure provides information about the qualifications and business practices of ViaWealth, LLC (f/k/a “Virtix Investment Advisors, LLC”), (ViaWealth). If you have any questions about the contents of this Brochure, please contact us at 844-484-7849. The information in this Brochure has not been approved or verified by the United States Securities and Exchange Commission or any state securities authority.

ViaWealth is a registered investment adviser. Registration as an investment adviser does not imply any level of skill or training. The oral and written communications of an adviser provide you with information from which you can determine whether to hire or retain an Adviser.

Additional information about ViaWealth is also available via the SEC’s web site [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 2 – Material Changes**

This Brochure, dated September 24, is an amendment to the Brochure for Virtix Investment Advisors, LLC.

Since the filing of the firm’s last annual update Brochure on March 30, 2021, subsequently amended June 12, 2021, we have updated our Brochure to reflect the firm’s legal name change. We have also made various other minor updates but no other material changes were made to the Brochure.

Pursuant to SEC Rules, we will deliver to you a summary of any materials changes to this and subsequent Brochures within 120 days of the close of our fiscal year. We may further provide other ongoing disclosure information about material changes as necessary. All such information will be provided to you free of charge.

Currently, our Brochure may be requested by contacting us at 844-484-7849.

Additional information about ViaWealth is also available via the SEC’s web site [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). The SEC’s web site also provides information about any persons affiliated with ViaWealth who are registered as investment adviser representatives of ViaWealth.

### Item 3 - Table of Contents

Item 1 – Cover Page .....	i
Item 2 – Material Changes.....	ii
Item 3 - Table of Contents .....	iii
Item 4 – Advisory Business .....	1
Item 5 – Fees and Compensation .....	2
Item 6 – Performance-Based Fees and Side-By-Side Management .....	4
Item 7 – Types of Clients .....	4
Item 8 – Methods of Analysis, Investment Strategies and Risk of Loss .....	4
Item 9 – Disciplinary Information .....	4
Item 10 – Other Financial Industry Activities and Affiliations .....	5
Item 11 – Code of Ethics .....	5
Item 12 – Brokerage Practices .....	6
Item 13 – Review of Accounts .....	8
Item 14 – Client Referrals and Other Compensation .....	9
Item 15 – Custody.....	10
Item 16 – Investment Discretion.....	10
Item 17 – Voting Client Securities .....	10
Item 18 – Financial Information.....	11
Brochure Supplement(s)	

#### **Item 4 - Advisory Business**

ViaWealth, LLC (f/k/a “Viritx Investment Advisors LLC”) (CRD # 309043) (ViaWealth), is registered as an investment adviser with the Securities and Exchange Commission. ViaWealth is based in and organized as a limited liability company under the laws of the State of Kansas and the United States of America. The firm was founded in 2018, was registered as an investment adviser in 2020, and currently has 3 employees and associated persons.

ViaWealth’s principal office and place of business is located at 10346 State Line Road, Suite 200, Leawood, KS 66206. Regular business hours are from 8:00am to 5:00pm Monday through Friday. The firm can be contacted by phone at 844-484-7849.

D. Lance Larson and Reid M. Larson are Managing Members, Founding Partners, and Investment Adviser Representatives of the firm. Jeffrey P. Rosenthal serves as Chief Compliance Officer of the firm.

ViaWealth provides discretionary management, non-discretionary management, and advisory services to its wealth management clients. Investment management services may be provided directly by ViaWealth or through a subadvisory agreement with Financial Counselors, Inc., a separately owned SEC registered investment advisory firm located in Overland Park, KS, or through other outside managers.

The firm does not sponsor a “wrap fee” program, although outside managers used or recommended by the firm may do so. For information regarding such programs provided by outside managers, please refer to the applicable outside manager’s ADV Part 2 Disclosure Brochure which is available upon request.

Additionally, ViaWealth provides financial planning and consulting services, which may include reviewing financial objectives, asset allocation, cash flow management, tax preparation and planning, accounting services, insurance, investment management, strategies for education funding, retirement planning, and estate planning. ViaWealth may provide some financial planning and consulting services directly or may delegate some services to outside “family office” or other service providers.

As of 03/25/2021, the firm managed \$54M in assets on a discretionary basis.

## Item 5 – Fees and Compensation

### Investment Management Services

#### *ViaWealth Managed Accounts*

Fees for wealth management services provided directly by ViaWealth are generally based on account size at an annual fee of up to 1.2% and are negotiable. The firm's current fee schedule is as follows:

- 1.20% on first \$500,000.
- 1.00% on \$500,001 - \$2,000,000
- .85% on \$2,000,001 - \$4,000,000
- .80% on \$4,000,001 - \$10,000,000
- .70% on \$10,000,001 - \$20,000,000
- .65% on \$20,000,001 - \$25,000,000
- .45% on \$25,000,001 - \$35,000,000
- .35% on \$35,000,001 - \$50,000,000
- .30% on \$50,000,001 - \$100,000,000
- .25% on assets over \$100,000,001

In instances where ViaWealth delegates investment management authority to outside investment managers, any additional management fees paid by the client rather than ViaWealth must be approved by the client in advance. Details about outside managers, their services, fee, etc., are addressed in the applicable manager's Form ADV Part 2 Disclosure Brochure which is available upon request.

Fees will generally be deducted in arrears via an automatic withdrawal on a quarterly basis, i.e. one-fourth of the annual fee will be deducted each quarter. For each quarter of service, fees will be calculated for and deducted from each account after the end of each quarter based on the quarter ending balance of each respective account as reported by the custodian.

Although fees are generally deducted from accounts, clients may with the firm's approval elect to instead pay fees by check or wire transfer.

Fees paid to outside managers are generally deducted directly from client accounts by ViaWealth or the applicable outside manager. Timing of fee deductions related to outside managers vary but are addressed in the applicable account opening documentation in advance.

### *FCI Sub-Advised Accounts*

Fees for wealth management services provided by ViaWealth pursuant to its subadvisory agreement with Financial Counselors, Inc., are generally based on account size according to the following schedule:

<u>Account Size</u>	<u>Annual Fee</u>
\$0 - \$499,000	1.20% (minimum \$2,500/year)
Accounts over \$500,000	negotiable

Fees are generally deducted quarterly in arrears directly from client accounts, but clients may elect to instead pay fees by check or wire transfer. Annual fees and minimums may be negotiable under certain circumstances.

### **Financial Planning and Consulting Services**

ViaWealth offers financial planning and consulting services to clients such as financial plans, investment plans, and/or individual consultations. Clients are typically charged a fixed fee ranging from \$1500 - \$5000 or may be charged on an hourly basis generally at \$100 - \$300 per hour, depending on the type and complexity of services to be provided. Fees are generally billed in advance but may in some instances be partially billed in advance with the balance billed in arrears upon completion. In some instances, ViaWealth may provide financial planning and services on a complimentary basis. The fees and scope of service for which a fee will be charged will be documented and agreed upon before commencement of services.

### **General Information**

Services may be terminated upon 30 days written notice, and fees for partial periods will be prorated. Any payments made in advance will be prorated and any unearned portion will be refunded to client subject to the termination notice provisions of the client agreement.

All fees paid to ViaWealth are separate and unrelated to any fees or expenses assessed by mutual funds, exchange traded funds, brokers or custodians. Details about outside managers, their services, fee, etc., are addressed in the applicable manager's Form ADV Part 2 Disclosure Brochure which is available upon request.

## **Item 6 – Performance-Based Fees and Side-By-Side Management**

Although its fees are often asset based, ViaWealth does not charge additional performance-based fees (fees based on a share of capital gains on or capital appreciation of the assets of a client), and consequently does not manage performance based and non-performance based accounts on a side by side basis.

## **Item 7 – Types of Clients**

ViaWealth provides portfolio management services to individuals, trusts, estates, charitable organizations and business entities. The minimum account size for portfolio management services is generally \$500,000, although the firm may accept accounts not meeting the minimum on a case by case basis.

## **Item 8 – Methods of Analysis, Investment Strategies and Risk of Loss**

ViaWealth's primary investment strategy is to build efficient portfolios for clients using the principles of Modern Portfolio Theory.

To implement this strategy, we may manage accounts internally or may delegate investment management responsibility to a separately owned firm with which we have a subadvisory relationship, Financial Counselors, Inc. Both ViaWealth and FCI use a long term strategic approach to investing, but may use some shorter term tactical techniques from time to time. Information about FCI or any other outside provider can be found in the applicable firm's disclosure brochure which is available upon request.

Investing in securities involves risk of loss that clients should be prepared to bear. These risks include market risk, interest rate risk, currency risk, and political risk, among others.

No investment strategy can assure a profit or avoid a loss.

## **Item 9 – Disciplinary Information**

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be considered material to the evaluation of the firm

or the integrity of our management. ViaWealth is currently not subject to, nor has ever been subject to, any legal or disciplinary events of a material nature.

## **Item 10 – Other Financial Industry Activities and Affiliations**

ViaWealth has an arrangement with Financial Counselors, Inc. (“FCI”), a separately owned SEC registered investment adviser, based in Overland Park, KS. FCI functions as a sub-adviser for some ViaWealth accounts, and in return, receives a portion of the investment management fee ViaWealth charges to its client.

ViaWealth may also offer clients advice or recommendations related to insurance products. Some associated persons of ViaWealth are licensed insurance agents and may represent various insurance companies. Any insurance product placed through associated persons may generate standard and customary insurance commissions and other compensation, a portion of which may be received by associated persons of ViaWealth.

While ViaWealth will endeavor at all times to put the interest of clients first as part of its fiduciary duty, clients should be aware that the receipt of additional compensation creates a potential conflict of interest and may affect the judgment of individuals who make recommendations. However, our clients are under no obligation to purchase products recommended by our associated persons or to purchase products through our associated persons. We believe that our recommendations are in the best interests of our clients and are consistent with our clients’ needs.

ViaWealth has no financial industry affiliations or arrangements with related persons.

## **Item 11 – Code of Ethics**

### **Code of Ethics**

ViaWealth has adopted a Code of Ethics expressing the firm's commitment to ethical conduct. ViaWealth’s Code of Ethics describes the firm's fiduciary duties and responsibilities to clients, and details practices for reviewing the personal securities transactions of supervised persons with access to client information. The Code also requires compliance with applicable securities laws, addresses insider trading, and details

possible disciplinary measures for violations. ViaWealth will provide a complete copy of its Code of Ethics to any client upon request to the Chief Compliance Officer.

### **Trading Conflicts of Interest**

Individuals associated with ViaWealth are permitted to buy or sell securities for their personal accounts identical to or different than those recommended to clients. However, no person employed by ViaWealth is allowed to favor his or her own interest over that of a client or make personal investment decisions based on the investment decisions of advisory clients.

In order to address potential conflicts of interest, ViaWealth requires that associated persons with access to advisory recommendations provide annual securities holdings reports and quarterly transaction reports to the firm's Chief Compliance Officer.

### **Item 12 – Brokerage Practices**

#### ***The Custodian and Brokers We Use***

ViaWealth does not maintain custody of client assets. Instead, we require all client assets be maintained in an account at a non affiliated “qualified custodian,” generally a broker-dealer or bank. The qualified custodian we use varies depending on the type of service provided.

While we recommend that you use our custodian or broker, you will ultimately decide whether to do so and will open your account by entering into an account agreement directly with them. We do not actually open accounts for you, although we can assist you in doing so.

#### ***How We Select Custodians and Brokers***

In determining to associate with a custodian or broker for our clients, we consider many different factors including quality of service, types of services offered, overall capability, execution quality, competitiveness of transaction costs, availability of investment research, reputation and stability of the firm, and their financial resources, and stability, among other things. In determining the reasonableness of a broker’s compensation, we consider the overall cost to you relative to the benefits you receive, both directly and indirectly, from the broker.

## Your Brokerage and Custody Costs

Our clients receive various services directly from our custodians. For our clients' accounts that our custodians maintain, the custodian generally does not charge separately for custody services but instead is compensated by charging commissions or other fees on trades that it executes or trades that are executed by other brokers to and from the custodial accounts. Our relationship to our custodians and the custodian's relationship to the client are entirely independent of trade commission assessed by the custodian in client accounts.

Since our custodians charge you a fee for each trade that we have executed by a different broker-dealer, we have the custodian execute most trades for your account in order to minimize your trading costs.

We have determined that having the custodian execute most trades is consistent with our duty to seek "best execution" of your trades. Best execution means seeking the most favorable terms for a transaction based on all relevant factors, including those listed above.

## Products and Services Available to Us from Brokers/Custodians

Our custodians provide us and our clients with access to its institutional brokerage services like trading, custody, reporting, and related services, many of which are not typically available to retail customers. Our custodians also make available various support services, some of which may help us manage or administer our clients' accounts, while others may help us manage and grow our business.

Our custodians' institutional brokerage services which benefit you directly include access to a broad range of investment products, execution of securities transactions, and asset custody. The investment products available through our custodians include some to which we might not otherwise have access or that would require a significantly higher minimum initial investment by our clients.

Our custodians also make available to us other products and services that benefit us but may not directly benefit you or your account. These products and services assist us in managing and administering our clients' accounts. They include investment research, both the custodian's own and that of third parties. We may use this research to service all or a substantial number of our clients' accounts, including accounts not maintained at the custodian. In addition to investment research, the custodians also make available software and other technology that provide access to client account data, facilitates trade execution for multiple client accounts, provides pricing and other market data, facilitates payment of

our fees from our clients' accounts, and assists with back-office functions, recordkeeping, and client reporting.

Our custodians also offer other services intended to help us manage and further develop our business. These services include educational conferences and events, consulting on technology, compliance, legal, and business needs, publications and conferences on practice management and business succession, and access to employee benefits providers, human capital consultants, and insurance providers.

The availability of these services from our custodians benefit us because we do not have to produce or purchase them. Of course, this may give us an incentive to recommend that you maintain your account with our custodians based on our interests rather than yours, which is a potential conflict of interest. We believe, however, that our selection of our custodians is in the best interests of our clients, and is primarily supported by the scope, quality, and price of our custodians' services and not those services that benefit only us.

### **Aggregation of Transactions**

ViaWealth may, from time to time, aggregate client orders into blocks in order to facilitate more efficient account management and execution. When aggregating orders, an average price is given to all participants in the block, or other measures are taken, in order to treat all accounts fairly.

## **Item 13 – Review of Accounts**

### **Reviews of Accounts**

Investment management accounts are supervised on an ongoing basis by the principals of ViaWealth and if applicable by the respective third-party manager or sub-advisor. In addition to ongoing supervision, account relationships are reviewed by principals of ViaWealth on a quarterly basis. The quarterly review generally includes assessing client goals and objectives, evaluating the employed strategy, monitoring the portfolio, and addressing the need to rebalance. Additionally, ViaWealth will periodically, and at least annually, review client's investment policy and risk profile, and discuss the re-balancing of each client's accounts to the extent appropriate.

Additional account reviews may be triggered by a specific client request, by a change in client goals or objectives, by an imbalance in a portfolio asset allocation, or by market or

economic conditions. Information about reviews conducted by outside managers may be found in the outside manager's Form ADV Part 2 Disclosure Brochure, which is available upon request.

All ongoing clients are advised that it remains their responsibility to advise us of any changes in their investment objectives and or financial situation.

### **Regular Reports Provided to Clients**

Investment management clients are provided with account statements from their custodian on at least a quarterly basis which list account holdings and transactions for the period. Investment management clients may also be provided with written performance reports on a quarterly basis that detail current market value, performance relative to market benchmarks, and overall portfolio allocation.

Information about reports provided by outside managers may be found in the outside manager's Form ADV Part 2 Disclosure Brochure, which is available upon request.

### **Item 14 – Client Referrals and Other Compensation**

ViaWealth does not compensate any outside parties for client referrals, nor do we receive any compensation or non-cash economic benefit for client referrals.

ViaWealth does however receive economic benefits from our custodian in the form of the support products and services that are made available to us and to other independent investment advisors. These products and services, how they benefit us, and the related conflicts of interest are described in Item 12 above. ViaWealth may also from time to time receive nominal expense reimbursements (e.g. food, beverage, etc.) from service providers participating in ViaWealth sponsored events. The availability to us of these economic benefits is not based on us giving particular investment advice, such as buying or recommending particular securities for our clients. Furthermore, our representatives are required to make all investment decisions and recommendations based solely on the interests of the applicable client.

## **Item 15 - Custody**

As noted in Item 12, ViaWealth does not hold client funds or securities, but instead requires that they be held by a third party custodian. We may, however have limited control in some instances to trade on your behalf, to deduct our advisory fees from your account with your authorization, or to request disbursements to you or outside parties (although various types of written authorizations are required depending on the type of disbursements).

You will receive account statements directly from your custodian at least quarterly, which will be sent to the email or postal mailing address you provide. We urge you to carefully review these custodial statements when you receive them and compare them to reports you receive from us.

## **Item 16 - Investment Discretion**

ViaWealth will accept discretionary authority to manage securities accounts on behalf of clients, although ViaWealth will also accept non discretionary accounts.

When granted authority to manage accounts, ViaWealth customarily has the authority to determine which securities and the amounts that are bought or sold, or the authority to delegate to third party managers or sub-advisors. Any discretionary authority accepted by ViaWealth however is subject to the client's risk profile and investment objectives and may be limited by any other limitations provided by the client in writing.

ViaWealth will not exercise any discretionary authority until it has been given authority to do so in writing. Such authority is granted in the written agreement between ViaWealth and the client and in the written agreement with the third party custodian.

## **Item 17 - Voting Client Securities**

ViaWealth does not vote proxies on behalf of clients. Clients will receive their proxies or other solicitations directly from their custodian or transfer agent and may contact ViaWealth with questions about a particular solicitation.

## **Item 18 – Financial Information**

Registered investment advisers are required in some cases to provide certain financial information and or disclosures about financial condition. For example, if the firm requires prepayment of fees for six months in advance, has custody of client funds, or has a condition that is reasonably likely to impair its ability to meet its contractual commitments to its clients, it must provide financial information and make disclosures.

ViaWealth has no financial or operating conditions which trigger such additional reporting requirements.

# Form ADV Part 2B Brochure Supplement

D. Lance Larson

ViaWealth, LLC (f/k/a “Virtix Investment Advisors,  
LLC”)

10346 State Line Road

Leawood, KS 66206

844-484-7849

September 24, 2021

This Brochure Supplement provides information about D. Lance Larson that supplements the ViaWealth, LLC (ViaWealth) Brochure which you should have received. Please contact us at 844-484-7849 if you did not receive the ViaWealth Brochure or if you have any questions about it or the contents of this supplement.

Additional information about Mr. Larson is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 2- Educational Background and Business Experience**

David L. Larson, born 1977, is a Managing Member, Founding Partner and Investment Advisor Representative of the firm. Mr. Larson is also the President and Managing Member of Larson Building Company, a position he has held since 2013, and is the President and Managing Member of BenchMark, KC, a position he has held since 2009.

Mr. Larson received a Bachelor of Science Degree in Organizational Communications from the University of Kansas.

## **Item 3- Disciplinary Information**

Investment adviser representatives are required to disclose all material facts regarding certain legal or disciplinary events that would be considered material to the evaluation of the investment adviser representative. Mr. Larson is currently not subject to, nor has ever been subject to, legal or disciplinary events of this nature.

## **Item 4- Other Business Activities**

Mr. Larson has no other financial industry affiliations.

## **Item 5- Additional Compensation**

Mr. Larson does not receive any economic benefits, sales awards, or other compensation in connection with providing advisory services to clients.

## **Item 6 - Supervision**

Mr. Larson is Managing Member and Founding Partner of the firm and consequently does not report to a supervisor. However, ViaWealth's Chief Compliance Officer, Jeffrey P. Rosenthal, provides compliance oversight related to the activities of the firm and its representatives, and can be contacted at the number above regarding Mr. Larson's activities.

# Form ADV Part 2B Brochure Supplement

Reid M. Larson

ViaWealth, LLC (f/k/a “Virtix Investment Advisors,  
LLC”)

10346 State Line Road

Leawood, KS 66206

844-484-7849

September 24, 2021

This Brochure Supplement provides information about Reid M. Larson that supplements the ViaWealth, LLC (ViaWealth) Brochure which you should have received. Please contact us at 844-484-7849 if you did not receive the ViaWealth Brochure or if you have any questions about it or the contents of this supplement.

Additional information about Mr. Larson is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 2- Educational Background and Business Experience**

Reid M. Larson, born 1978, is a Managing Member, Founding Partner and Investment Advisor Representative of the firm. Mr. Larson was a Sales Consultant and Business Development Manager for Cargill from 2010 to 2017. Prior to that he worked in Sales & Business Development for Prepolymer Products from 2006 to 2010.

Mr. Larson received a Bachelor of Science Degree in Organizational Management with a Minor in Marketing and Economics from the University of Minnesota – Carlson School of Management.

## **Item 3- Disciplinary Information**

Investment adviser representatives are required to disclose all material facts regarding certain legal or disciplinary events that would be considered material to the evaluation of the investment adviser representative. Mr. Larson is currently not subject to, nor has ever been subject to, legal or disciplinary events of this nature.

## **Item 4- Other Business Activities**

Mr. Larson has no other financial industry affiliations.

## **Item 5- Additional Compensation**

Mr. Larson does not receive any economic benefits, sales awards, or other compensation in connection with providing advisory services to clients.

## **Item 6 - Supervision**

Mr. Larson is a Managing Member and Founding Partner of the firm and consequently does not report to a supervisor. However, ViaWealth's Chief Compliance Officer, Jeffrey P. Rosenthal, provides compliance oversight related to the activities of the firm and its representatives, and can be contacted at the number above regarding Mr. Larson's activities.

# Form ADV Part 2B Brochure Supplement

Courtney A. Lashomb

ViaWealth, LLC (f/k/a “Virtix Investment Advisors,  
LLC”)

10346 State Line Road

Leawood, KS 66206

844-484-7849

September 24, 2021

This Brochure Supplement provides information about Courtney A. Lashomb that supplements the ViaWealth, LLC (ViaWealth) Brochure which you should have received. Please contact us at 844-484-7849 if you did not receive the ViaWealth Brochure or if you have any questions about it or the contents of this supplement.

Additional information about Ms. Lashomb is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 2- Educational Background and Business Experience**

Courtney A. Lashomb, born 1982, joined the firm in 2021 as an Investment Advisor Representative. Prior to that she was an Investment Advisor Representative for AdvisorNet Wealth Management from 2020 to 2021. She was a Client Relationship Manager/Paraplanner for Freedom Financial Planners from 2015 to 2021. Ms. Lashomb was an Investment Advisor Representative for United Capital Financial Advisors, LLC from 2017 to 2020 and a Registered Assistant for Investment Centers of America from 2015 to 2017.

Ms. Lashomb received a Bachelor's Degree from the University of Minnesota – Twin Cities in 2005.

## **Item 3- Disciplinary Information**

Investment adviser representatives are required to disclose all material facts regarding certain legal or disciplinary events that would be considered material to the evaluation of the investment adviser representative. Ms. Lashomb is currently not subject to, nor has ever been subject to, legal or disciplinary events of this nature.

## **Item 4- Other Business Activities**

Ms. Lashomb is a licensed independent insurance agent and represents various insurance companies. Any insurance product placed by Ms. Lashomb may generate standard and customary insurance commissions and other compensation, a portion of which may be received by her.

While ViaWealth will endeavor at all times to put the interest of clients first as part of its fiduciary duty, clients should be aware that the receipt of additional compensation creates a potential conflict of interest and may affect the judgment of individuals who make recommendations. However, our clients are under no obligation to purchase products recommended by our associated persons or to purchase products through our associated persons. We believe that our recommendations are in the best interests of our clients and are consistent with our clients' needs.

Ms. Lashomb has no other financial industry affiliations.

### **Item 5- Additional Compensation**

Ms. Lashomb does not receive any economic benefits, sales awards, or other compensation in connection with providing advisory services to clients.

### **Item 6 - Supervision**

Ms. Lashomb reports to Lance Larson, Managing Member and Founding Partner of the firm. ViaWealth's Chief Compliance Officer, Jeffrey P. Rosenthal, provides compliance oversight related to the activities of the firm and its representatives. Either Mr. Larson or Mr. Rosenthal can be contacted at the number above regarding Ms. Lashomb's activities.