

*This brochure supplement provides information about Raphael Vega that supplements the Alamo Insurance & Wealth Management brochure. You should have received a copy of that brochure. Please contact Raphael Vega if you did not receive Alamo Insurance & Wealth Management's brochure or if you have any questions about the contents of this supplement.*

*Additional information about Raphael Vega is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

# **Alamo Insurance & Wealth Management**

## **Form ADV Part 2B – Individual Disclosure Brochure**

*for*

**Raphael  
Vega**

Personal CRD Number: 1936901  
Investment Adviser Representative

Alamo Insurance & Wealth Management  
2101 Lockhill Selma Suite 2107 and 2109  
San Antonio, TX 78213  
(210) 569-7300  
[RVega@alamoiwm.com](mailto:RVega@alamoiwm.com)

Updated 1/7/2016

## Item 2: Educational Background and Business Experience

**Name:** Raphael Vega    **Born:** 1965

### **Educational Background and Professional Designations:**

#### **Education:**

BS Business Administration, Western New Mexico University - 1986

#### **Designations:**

None

#### **Business Background:**

01/2015 - Present	Financial Professional Alamo Insurance & Wealth Management
01/2013 - 01/2015	Registered Representative Princor Financial Services Company
06/2012 - 12/2012	Exclusive Financial Specialist Allstate Financial Services
09/2011 - 05/2012	Investment Advisor Representative First Command
06/2011 - 11/2011	Investment Advisor Representative Servant Advisor, Inc.
03/2011 - 06/2011	Investment Advisor Representative Warren Financial Services
08/2009 - 02/2011	Insurance Sales R P Vega & Associates
02/2001 - 07/2009	District Sales Manager Catholic Life Insurance Company

### **Item 3: Disciplinary Information**

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

### **Item 4: Other Business Activities**

Raphael Vega is a licensed insurance agent. From time to time, he will offer clients advice or products from this activity. Clients should be aware that these services pay a commission and involve a possible conflict of interest, as commissionable products can conflict with the fiduciary duties of a registered investment adviser. Alamo Insurance & Wealth Management always acts in the best interest of the client; including in the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any representative of Alamo Insurance & Wealth Management in their capacity as a licensed insurance agent.

Raphael Vega spends 30 hours per week of his time on those activities and considers them his primary business.

### **Item 5: Additional Compensation**

Raphael Vega does not receive any economic benefit from any person, company, or organization, other than Alamo Insurance & Wealth Management in exchange for providing clients advisory services through Alamo Insurance & Wealth Management.

### **Item 6: Supervision**

Raphael Vega is supervised by John Chan of Alamo Insurance & Wealth Management. All advice provided to clients is reviewed by this supervisor prior to implementation. John Chan can be reached at (210) 317-9347. Raphael Vega adheres to all required regulations regarding the activities of an Investment Adviser Representative and follows all policies and procedures outlined in the firm's policies and procedures manual, including the Code of Ethics, and appropriate securities regulatory requirements.

## Item 7: Requirements For State Registered Advisers

*This disclosure is required by Texas state securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

- A. Raphael Vega has NOT been involved in any of the events listed below.
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; or
    - e) 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.
- B. Raphael Vega has been the subject of a bankruptcy petition in the past ten years.
- Chapter 7 Bankruptcy filed on 8/1/2005. Discharged on 1/12/2006.