

# Stewart & Patten

Company LLC

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*Investment Advisers since 1942*

ITEM 1 – Cover Page

**FORM ADV**  
**PART 2B: BROCHURE SUPPLEMENT**

**CONTAINING THE PROFESSIONAL BACKGROUNDS OF:**

**ROBERT M. GENTRY**

**LORI E. SHERMAN**

**ALEX LILLES**

**TEDDY HANDOKO**

**CASEY B. WEST**

**MARCH 2020**

Stewart and Patten Co., LLC  
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San Francisco, CA 94104  
415-421-4932  
[www.stewartandpatten.com](http://www.stewartandpatten.com)

This Brochure supplement provides information about “Supervised Persons” or key Principals and Employees working with clients at Stewart and Patten Co., LLC, and supplements Stewart and Patten’s Brochure. You previously should have received a copy of that Brochure. Please contact our Chief Compliance Officer, Lori E. Sherman, using the information above if you did not receive Stewart and Patten’s Brochure or if you have questions about the content of this supplement. *Additional information about Stewart & Patten Co., LLC is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)*

## **Investment Professionals**

### **ROBERT M. GENTRY, CFA – Principal**

Born 1962

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

Rob is a native of the San Francisco Peninsula and first worked in the investment industry in 1984 at Franklin-Templeton Funds. He later held positions with CR-P Associates, a firm specializing in Latin American finance, and was a co-founder and CFO of software consulting firm DBSS/InterMax Solutions from 1990 to 1997. He joined Stewart & Patten in 1997. Rob holds the Chartered Financial Analyst designation and is a member of the CFA Society of San Francisco. He has a B.S. from the University of California at Davis, and a M.S. from St. Mary's College.

#### **Item 3 – Disciplinary Information**

Mr. Gentry has no legal or disciplinary events or disclosures.

#### **Item 4 – Other Business Activities**

Mr. Gentry is not involved in any other business activities.

#### **Item 5 – Additional Compensation**

Other than as may be disclosed in the Firm's ADV Part 2A Brochure, neither the Firm nor any of its employees receive any economic benefit from any non-client for the provision of investment advisory services. Employees are not paid "sales awards" or other prizes for referring clients to the Firm.

#### **Item 6 – Supervision**

All Firm personnel are supervised by the Firm's principals and Chief Compliance Officer whose supervision is ongoing and includes account reviews, trade supervision, annual compliance reviews including the forensic testing of Firm systems, staff meetings and employee reviews. No major business or investment decision is ever acted upon individually by principals and employees. Review and changes to client portfolios are always done upon the approval of at least 2 principals.

**LORI E. SHERMAN, CFP® – Principal**

Born 1964

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

Lori originally hails from southern California and began her business career as a CPA with Coopers & Lybrand in 1986. She was an independent consultant for several years prior to being appointed as Vice President and Controller at Roger Engemann & Associates. Lori joined Stewart and Patten in 2000. She has been an active Girl Scout leader and volunteer for over fifteen years. She is a member of the California Society of CPAs and the American Institute of CPAs. While Lori meets all requirements for CPA licensing, her current status is “inactive”. She became a Certified Financial Planner® in 2008. Lori has a B.S. from California State Polytechnic University, Pomona.

**Item 3 – Disciplinary Information**

Ms. Sherman has no legal or disciplinary events or disclosures.

**Item 4 – Other Business Activities**

Ms. Sherman is not involved in any other business activities.

**Item 5 – Additional Compensation**

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**ALEX LILLES, CFA – Portfolio Analyst**

Born: 1973

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

Alex joined Stewart and Patten in 2014. For 13 years, he held various positions with WHV Investment Management (formerly Wentworth, Hauser & Violich) in San Francisco. At WHV, Alex specialized in large cap equity research, covering sectors in energy, consumer staples, and materials. Also at WHV, he managed small cap equity portfolios and individual portfolios for the firm’s high net worth clients. Alex earned a B.A. in Communications from Washington State University. He holds the Chartered Financial Analyst Designation and is a member of the CFA Society of San Francisco.

**Item 3 – Disciplinary Information**

Mr. Lilles has no legal or disciplinary events or disclosures.

**Item 4 – Other Business Activities**

Mr. Lilles is not involved in any other business activities.

**Item 5 – Additional Compensation**

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**TEDDY HANDOKO, CFA – Research Analyst**

Born: 1977

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

Teddy joined Stewart and Patten in 2014. He spent the prior seven years with Charles Schwab & Co., as a Mutual Funds Analyst, Portfolio Analyst, and Performance Analyst. At Schwab, he analyzed fixed income and equity mutual funds and securities for the Investment Advisory Group. Teddy has a B.S. in Finance from San Francisco State University, and an M.B.A. from

the University of North Carolina Kenan-Flagler Business School. He holds the Chartered Financial Analyst designation and is a member of the CFA Society of San Francisco.

### **Item 3 – Disciplinary Information**

Mr. Handoko has no legal or disciplinary events or disclosures.

### **Item 4 – Other Business Activities**

Mr. Handoko is not involved in any other business activities.

### **Item 5 – Additional Compensation**

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### **CASEY B. WEST, CFA CFP® – Trading and Operations Associate**

Born 1978

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

Casey joined Stewart and Patten in 2011. Previously, he was an Analyst in the Strategic Value Advisory Group with Duff and Phelps, and has also worked in the biotechnology industry and as an educator. He holds the Chartered Financial Analyst designation and is a member of the CFA Society of San Francisco. He became a Certified Financial Planner® in 2015. Casey has an undergraduate degree from California State University, Sacramento and a Master of Science in Finance (with High Honors) from Golden Gate University.

### **Item 3 – Disciplinary Information**

Mr. West has no legal or disciplinary events or disclosures.

### **Item 4 – Other Business Activities**

Mr. West is not involved in any other business activities.

## **Item 5 – Additional Compensation**

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## **Professional Designations**

\* The Chartered Financial Analyst (“CFA”) designation requires the holder to pass three six-hour exams, possess a bachelor's degree (or equivalent, as assessed by CFA institute) and have 48 months of qualified, professional work experience. CFA charter holders are also obligated to adhere to a strict code of ethics and standards governing professional conduct.

\*\* The Certified Financial Planner® (“CFP”) designation requires the holder to meet education, examination, experience and ethics requirements, and pay an ongoing certification fee. A bachelor's degree (or higher), or its equivalent in any discipline, from an accredited college or university is required. Students are required to complete course training in nine core financial topic areas, sit for a 10 hour CFP Board Certification Examination, acquire three years full-time or equivalent (2,000 hours per year) part-time work experience in the financial planning field and undergo an extensive background check—including an ethics, character and criminal check. CFP® professionals must complete 30 hours of continuing education (CE) accepted by CFP Board (including completion of 2 hours of CFP Board approved Ethics CE) every two years.

\*\*\* A Certified Public Accountant (“CPA”) is licensed and regulated by the applicable state board of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two year period or 120 hours over a three year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services.