## ITEM 1 - COVER PAGE

# ADV PART 2B BROCHURE

## Jose Pena

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D/B/A
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This Form ADV 2B ("Brochure Supplement") provides information about the background and qualifications of Jose Pena CRD # 8368723). The information in this brochure supplements the Part 2A brochure of Apella Capital, LLC d/b/a Apella Wealth (hereinafter "Apella" or "firm"), which you should have received a copy of. Please contact our Chief Compliance Officer at (860) 785-2260 or trichards@apellawealth.com if you did not receive Apella's Part 2A brochure or have any questions about the contents of this supplement. Additional information about Jose Pena is available on the SEC's website at www.adviserinfo.sec.gov.

## ITEM 2 – EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE

### JOSE PENA

- CRD #: 8368723
- YEAR OF BIRTH: 1962

### EDUCATIONAL BACKGROUND:

- 1990: Fletcher School Law and Diplomacy; Master of Arts in Law and Diplomacy
- 1985: University of California, Berkeley; Bachelor of Science in industrial Engineering and Operations Research

### BUSINESS BACKGROUND:

- 11/2026 – Present: Apella Wealth; Associate Wealth Advisor
- 06/2024 – 07/2024: Abacus Wealth Partners; Internship
- 01/1992 – 05/2024: U.S. Government Accountability Office; Senior Analyst

## ITEM 3: DISCIPLINARY INFORMATION

Registered investment advisers must disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice.

**NO DISCIPLINARY HISTORY**

Jose Pena has no history of any legal or disciplinary events deemed material to a client's consideration of Jose Pena to act as their investment adviser representative. FINRA's BrokerCheck® system and the Investment Adviser Public Disclosure system provides additional information regarding the registration and disciplinary history of Mindy Wiedel Please visit FINRA's BrokerCheck® system at https://brokercheck.finra.org or the IAPD system at www.adviserinfo.sec.gov for additional information.

## ITEM 4: OTHER BUSINESS ACTIVITIES

Jose Pena is involved in an investment-related activity outside of his role with Apella Wealth through Savvy Ladies, a nonprofit organization dedicated to empowering women through financial education. In this role, he provides educational guidance on topics such as debt management and general financial literacy. This activity does not create a material conflict of interest with his responsibilities at Apella Wealth.

## ITEM 6: SUPERVISION

Jose Pena is supervised by Brian Pon. Brian Pon is responsible for overseeing the day-to-day advisory activities conducted by Brian Pon. Brian Pon conducts periodic reviews of the IAR's advisory work to ensure it is consistent with applicable regulatory requirements and the firm's compliance program. Brian Pon can be reached at 415-924-1091.

Ultimate supervisory authority and responsibility for compliance matters rests with the firm's Chief Compliance Officer (CCO), Timothy Richards, who monitors the overall effectiveness of the firm's supervisory structure. The CCO may review the IAR's activities as part of the firm's broader compliance testing program, including reviews of client files, trade activity, and communications, as warranted.