



## WERNAU ASSET MANAGEMENT

**Peter C. Wernau**

30 Western Avenue Suite 206  
Gloucester, MA 01930  
Telephone: 617-871-0029  
Facsimile: 617-507-8155

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

**March 17, 2021**

**FORM ADV PART 2B  
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Peter C. Wernau that supplements the Wernau Asset Management, Inc. brochure. You should have received a copy of that brochure. Contact us at 617-871-0029 if you did not receive Wernau Asset Management, Inc.'s brochure or if you have any questions about the contents of this supplement.

Additional information about Peter C. Wernau (CRD # 4741275) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

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

**Year Born:** 1974  
**Education:** University of Notre Dame, B.A. in Accounting, 1997

### **Business Experience:**

10/2003 to Present: Wernau Asset Management, Inc., President, Chief Executive Officer  
10/2003 to 12/2019: Wernau Asset Management, Inc., Chief Compliance Officer  
12/2010 to 12/2016: Back Bay Mortgage Brokers, LLC (#MB373332)  
03/2002 to 04/2004: Hill, Holliday, Connors, Cosmopolos, Inc., Vice President  
11/1999 to 02/2002: Business Edge Solution, Partner-E-Business Architect  
05/1998 to 09/1999: Deloitte & Touche LLC, Senior Consultant  
05/1997 to 05/1998: Anderson Consulting, Analyst  
**Licenses:** Series 65

## **Item 3 Disciplinary Information**

Mr. Wernau does not have any legal, civil, criminal, regulatory, or disciplinary history to report at this time.

## **Item 4 Other Business Activities**

Mr. Wernau is also general partner in Dartmouth Street Ventures Limited Partnership. The partnership is a principal investor in investment vehicles including but not limited to options, stocks, bonds, real estate, commodities, private businesses and other investment opportunities. Mr. Wernau is currently the only general partner and his spouse is the only limited partner. Mr. Wernau is also part owner of Apricot Capital, LLC, a private investment LLC that provides start up financing for new business ventures. Mr. Wernau is also part owner of Fish City Capital LLC, a private investment LLC that provides seed stage capital for startups and other businesses.

## **Item 5 Additional Compensation**

Peter C. Wernau does not receive any additional compensation beyond that received as an President of Wernau Asset Management, Inc.

## **Item 6 Supervision**

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Wernau Asset Management, Inc., and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.

My supervisor is: Jonathan L. Iannacone, Chief Compliance Officer

Supervisor phone number: 978-325-1620