



Joseph Stapleton

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Form ADV, Part 2B Brochure Supplement

April 14, 2025

This brochure supplement provides information about Joseph Stapleton that supplements the Spinnaker Investment Group, LLC brochure. You should have already received a copy of that brochure. Please contact us at 949-396-6700 if you did not receive our brochure or if you have any questions about the contents of this supplement.

Additional information about Joseph Stapleton is available on the SEC's website at www.adviserinfo.sec.gov.

ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Joseph Stapleton, Investment Adviser Representative, b. 1984

Education:

University of Arizona, B.S., Finance and Entrepreneurship, 2006

Business Background:

Spinnaker Investment Group, LLC, Investment Adviser Representative, 5/2016 – Present

DMK Advisor Group, LLC (formerly known as Stephen A. Kohn & Associates, Ltd.), Registered Representative, 11/2017 to 08/2024

Signature Resources Capital Management, LLC, Investment Adviser Representative, 11/2010 – 5/2016

MML Investors Services, LLC, Registered Representative, 10/2014 – 5/2016

MassMutual Life Insurance Company, Agent, 10/2014 – 5/2016

Signature Resources Insurance & Financial Services, Inc., Financial Representative, 3/2008 – 11/2014

Signator Investors, Inc., Financial Advisor Registered Representative, 11/2008 to 11/2014

ITEM 3 - DISCIPLINARY INFORMATION

Spinnaker Investment Group is required to disclose information regarding any legal or disciplinary events material to a client's evaluation of Joseph Stapleton. Spinnaker Investment Group has no information to disclose in relation to this Item.

ITEM 4 - OTHER BUSINESS ACTIVITIES

Spinnaker Investment Group is required to disclose information regarding any investment-related business or occupation in which Joseph Stapleton is actively engaged.

Licensed Insurance Agent

Joseph Stapleton is a licensed insurance agent. Joseph Stapleton will receive commissions on the sale of insurance products. The insurance commissions and compensation Joseph Stapleton receives are separate from and in addition to any fees that Spinnaker Investment Group receives for advisory/financial planning services. Therefore, a conflict of interest will exist between his interests and those of Spinnaker Investment Group clients if he recommends insurance services for which he is individually compensated when providing advisory/financial planning advice to a Spinnaker Investment Group client. However, clients are under no obligation to act upon any of his recommendations or effect any transactions through him if they decide to follow his recommendations. Joseph Stapleton will disclose any conflict of interest with a Spinnaker Investment Group client before effecting a sale of insurance transactions.

ITEM 5 - ADDITIONAL COMPENSATION

Joseph Stapleton receives compensation from the activities described in Item 4, above.

ITEM 6 - SUPERVISION

Morgan Christen, Chief Compliance Officer and Managing Member, is generally responsible for supervising Joseph Stapleton's advisory activities on behalf of Spinnaker Investment Group. Morgan Christen can be reached at the firm's main telephone number listed on the cover page of this Brochure Supplement.

Spinnaker Investment Group supervises its personnel and the investments made in client accounts. Spinnaker Investment Group monitors the investments recommended by Joseph Stapleton to ensure they are suitable for the particular client and consistent with their investment needs, goals, objectives and risk tolerance, as well as any restrictions previously requested by the client. Spinnaker Investment Group periodically reviews the advisory activities of Joseph Stapleton, which may include reviewing individual client accounts and correspondence (including e-mails) sent and received by Joseph Stapleton.