

# Beth J. Levine

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**This document provides information about Beth Levine that supplements the XML Financial Group (XML) ADV 2A Brochure and Wrap Fee Program Brochure (Brochures). If you were not provided with a Brochure or if you have questions about the content of this supplement please contact Compliance at [info@xmlfg.com](mailto:info@xmlfg.com) or 703.827.2300. The Brochures and additional information about XML and Beth Levine are available on the SEC's website at [adviserinfo.sec.gov](http://adviserinfo.sec.gov).**

## **ITEM 2 EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE**

Beth graduated from Towson State University. Beth joined XML Financial Group in 2019 as a Senior Wealth Advisor. Since 2009, Beth has been a registered representative with the affiliated broker-dealer, XML Securities, LLC, member FINRA/SIPC ("XML BD").

**ITEM 3 DISCIPLINARY INFORMATION** - None

## **ITEM 4 OTHER BUSINESS ACTIVITIES**

**BROKER AGENT:** Beth is a registered representative with XML BD. This enables her to effect securities transactions for a commission in her capacity as a broker agent. She is able to offer brokerage services to both clients and non-clients of XML. When acting in the capacity as a broker agent, she will receive compensation based on the sale of securities and brokerage products including, but not limited to, mutual fund share classes that pay sale charges and distribution or service ("trail") fees, transaction commissions, markup and markdowns on principal trades in bonds and other compensation as detailed in the Reg BI Disclosure document. This creates a conflict of interest as there is an inherent incentive to recommend brokerage products and effect transactions based on the broker agent's compensation. Please discuss any questions regarding brokerage compensation and the related conflicts of interest with this professional. Visit <https://www.xmlfg.com/brokerage-services/> to view the Reg BI Disclosure and additional disclosures and policies.

**ITEM 5 ADDITIONAL COMPENSATION** - None

## **ITEM 6 SUPERVISION**

XML's investment advisor supervisory system includes, but is not limited to, principal approval of advisory agreements and amendments, email sample review, outside account review and trade monitoring. This individual's designated supervisor is Brett Bernstein, CFP®, CEO at 301.770.5234.