

# Investment Advisory Representative Brochure

**Kenneth A. Eirkson**

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**Synergy Investment Group, LLC**

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IARD #: 46035

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This Brochure Supplement provides information about Kenneth A. Eirkson (“Supervised Person”) that supplements the Synergy Investment Group, LLC Brochure. You should have received a copy of that Brochure. Please contact Joseph Hayes, Chief Compliance Officer, if you did not receive Synergy Investment Group, LLC’s Brochure or if you have any questions about the contents of this supplement.

Additional information about Kenneth A. Eirkson 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 of Birth

1965

### Education

Indiana University of Pennsylvania, B.S. Finance, 1983-1988

### Business Experience

Sterne, Agee Financial Services, Inc., Registered Representative, 02/2012-Present

Arriba Investment and Exchange Corporation, President, Gibsonia, PA 2009-Present

Synergy Investment Group, LLC, Representative, 05/2005-Present

### Professional Designation

The American College, Chartered Financial Consultant ("ChFC")- Eirkson was enrolled from 1994-1996 at The American College and subsequently awarded the ChFC professional designation in 1996. Eirkson maintains continuing credits in their PACE program to maintain the ChFC credential.

Note: The ChFC designation is issued by The American College. To obtain such designation, an individual must have three years of full-time business experience within the five years preceding the awarding of the designation. A candidate for the ChFC must complete six core and two elective courses. Upon completion of the courses, a proctored examination must be passed for each course. To maintain the designation, an individual is responsible for completing 30 hours of continuing education every two years.

## **Item 3- Disciplinary History**

Registered investment advisers are required to 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 information is applicable to this Item.

## **Item 4- Other Business Activities**

The Supervised Person, in addition to providing investment advisory and/or financial planning services, is also registered as a broker/dealer agent of Sterne, Agee Financial Services, Inc. offering various securities products to clients. For advisory clients participating in the Managed Account Program, the Supervised Person may be entitled to a portion of commissions as a broker/dealer agent, if the client is responsible for the commission charges.

For non-advisory assets, the Supervised Person, as a broker/dealer agent, does receive commissions from the sale of various securities products. In the case of mutual funds, Eirkson may also receive trails, in the form of 12b-1 fees, for existing mutual fund positions. Since the Supervised Person receives commission for the sale of securities products, there is an incentive for the Supervised Person to recommend products based on compensation received rather than the client's needs. The firm has adopted policies and practices designed to review transactions for suitability and their overall appropriateness to the client.

Under the doing business as name of Arriba Investment and Exchange Corporation, the Supervised Person may recommend insurance products as an insurance agent in addition to investment products. The Supervised Person receives commissions for insurance transactions. Since the Supervised Person receives commission for the sale of insurance products, there is an incentive for the Supervised Person to recommend products based on compensation received rather than the client's needs. The firm has adopted a set of policies and practices requiring the Supervised

Person to conduct such activity consistent with standards of commercial honor and principles of trade and that such activity must be consistent with the client's needs..

In addition to the above activities, the Supervised Person also serves as an estate, financial planning and tax consultant; helps with charities and non-profit groups; and assists political candidates on campaigns, polls, fundraising, voter registrations, and serves on the financial endowment committee of Salem United Methodist Church.

#### **Item 5- Additional Compensation**

The Supervised Person does not receive economic benefits in the form of awards, bonuses and prizes for any person or entity for providing advisory services and investment advice to a client of Synergy Investment Group, LLC.

#### **Item 6 - Supervision**

Joseph Hayes, Chief Compliance Officer, and any designee he may appoint are daily reviewing transactions in client accounts. A sample of accounts is monitored by the Chief Compliance Officer. In such a review, the Chief Compliance Officer is evaluating transaction history relative to the client's profile and the underlying agent's compliance with firm policies and fiduciary standards. Additional account reviews may be triggered by a specific client request; a customer complaint; or, as needed, based on activity levels within an account. A sample of financial plans will be reviewed as needed by the Chief Compliance Officer. Joseph Hayes can be contacted at (704) 333-7637.

#### **Item 7- Requirements for State-Registered Advisers**

Registered investment advisers are required to disclose all material facts regarding any reportable events that would be material to your evaluation of each supervised person providing investment advice. No information is applicable to this Item.