

# DAVID W. LEWIS, JR.

LEWIS ASSET MANAGEMENT, LLC  
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**This brochure provides supplemental information about David W. Lewis, Jr. (“David Lewis”). This supplements the Lewis Asset Management, LLC brochure, which should have also been provided to you. Please contact David Lewis at Lewis Asset Management, LLC if you need the Lewis Asset Management, LLC brochure or if you have any questions.**

**Additional information about Lewis Asset Management, LLC is also available at the SEC’s website [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) (select “investment adviser firm” and type in our firm name). Results will provide you both Part 1 and 2 of our Form ADV.**



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## ITEM 2 – EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

### 2.A: INDIVIDUAL

David W. Lewis, Jr.

Year Born: 1974

### 2.B: EDUCATIONAL BACKGROUND

B.S., Electrical Engineering – Penn State University (1996)

### 2.C: BUSINESS BACKGROUND

04/2007 – Present: *Chief Compliance officer & Registered investment Advisor*, Lewis Asset Management, LLC dba Lewis Asset Management

05/2007 – 04/2012: *Registered Representative*, Cambridge Investment Research, Inc.

09/2001 – 04/2007: *Registered Representative*, Solomon Smith Barney

07/1997 – 09/2001: *Financial Advisor*, Dean Witter Reynolds, Inc.

### 2.D: PROFESSIONAL QUALIFICATIONS

Series 7, General Securities Representative Examination (1997)

Series 24, General Securities Principal Examination (2008)

Series 31, Futures Managed Funds Examination (2004)

Series 63, Uniform Securities Agent Laws (1997)

Series 65, Uniform Investment Adviser Law Examination (2001)

## ITEM 3 – DISCIPLINARY INFORMATION

Other than the item mentioned in the ADV Part 2 A (Item 19.d), David Lewis has no additional legal or disciplinary events that are material to you or a prospective client's evaluation of this advisory business.

## ITEM 4 – OTHER BUSINESS ACTIVITIES

The principal business of Lewis Asset Management is that of a registered investment advisor and provider of financial planning services. David Lewis is also an insurance agent. Employees who are insurance agents are paid fees and/or commissions for their services. In cases where we receive fees and/or commissions, there may be a conflict of interest. At all times, you are free to choose outside agents to avoid the possibility of there being a conflict of interest.

## ITEM 5 – ADDITIONAL COMPENSATION

Other than work with Lewis Asset Management and any disclosures made in Items 2 and 4 above, David Lewis receives no additional compensation related to outside business activities.

## ITEM 6 – SUPERVISION

David Lewis is the sole managing member of Lewis Asset Management and is the supervising authority. David Lewis remains aware of and keeps us in compliance with the current rules and regulations put forth by each ruling regulatory authority where we conduct our business. Lewis Asset Management has established internal policies for the guidance of its trading personnel, specifying minimum and maximum commissions to be paid for various types and sizes of transactions. Transactions, which vary from the guidelines, are subject to periodic supervisory review. These guidelines are reviewed yearly and periodically adjusted. The general level of brokerage commissions paid is periodically reviewed by Lewis Asset Management. Evaluations of the

reasonableness of brokerage commissions are made by Lewis Asset Management's trading personnel while effecting portfolio transactions for clients.

Lewis Asset Management maintains and periodically updates a list of approved brokers and dealers, which is generally capable of providing best price and execution and is financially stable. Lewis Asset Management's traders are directed to use only brokers and dealers on the approved list, except in the case of client designations of brokers or dealers to effect transactions for such clients' accounts.

David Lewis is located at 250 Lafayette Circle, Suite 300-B, Lafayette, California 94549 and can be reached by calling (925) 284-4033.

## **ITEM 7 – REQUIREMENTS FOR STATE REGISTERED ADVISORS**

*State securities authorities require this disclosure and it is provided to you for evaluating this investment advisor representative's suitability.*

Other than any disclosures made in Item 3 above, David Lewis has not been found liable in any additional arbitration or liable in a civil, self-regulatory organization, or administrative proceeding involving an investment or an investment-related business or activity; fraud, false statement(s), or omissions; theft, embezzlement, or other wrongful taking of property; bribery, forgery, counterfeiting, or extortion; or dishonest, unfair, or unethical practices. David Lewis has never been the subject of a bankruptcy petition.