

## *Form ADV Part 2B – Brochure Supplement*



For Greg Cunningham

Managing Principal

*March 15, 2017*

This Brochure Supplement provides information about the background and qualifications of Greg Cunningham in addition to the information contained in the GS Investments, Inc. ("GSI" or the "Advisor" – CRD #107782) Form ADV Part 2 ("Brochure"). If you have not received a copy of the Brochure or if you any questions about the contents of the GSI Brochure or this Brochure Supplement, please contact Greg Cunningham at (612) 371-0590 or by email at [greg@gsinvestments.com](mailto:greg@gsinvestments.com).

Additional information about Mr. Cunningham is available on the SEC's Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

GS Investments, Inc.  
CRD No: 107782  
333 South 7<sup>th</sup> Street, Suite 3060  
Minneapolis, MN 55402  
Phone: (612) 371-0590 Fax: (612) 371-9869  
[www.gsinvestments.com](http://www.gsinvestments.com)

## **Item 1 – Summary**

### **A. Education and Business Standards**

GS Investments requires that its employees have a bachelor's degree or acceptable work experience that demonstrates an aptitude for investment management or the development of financial strategies.

### **B. Professional Degrees, Designations or Certifications**

GS Investments does not require that employees earn additional certifications and credentials. The firm does however, support and encourage its employees to seek additional educational opportunities.

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

Managing Principal and Portfolio Manager, Greg Cunningham, has been with GS Investments for over 5 years. Mr. Cunningham is responsible for the management of personal taxable accounts, IRA accounts, 401(K) and 403(B) plans, pension and profit-sharing plans, foundations plans, endowment funds and personal trusts.

His previous experience includes 15 years with Ameriprise Financial, a national leader in financial planning, managing \$300+ billion for over 2 million clients. Greg was instrumental in implementing a complete transformation of the New York Life Insurance subsidiary while at Ameriprise. He then served as financial advisor to the wholesale organization during a period of dramatic growth. Finally, he served as Senior Financial Manager of Hedge Funds and later, Asset Management. In these roles, Greg developed a deep and broad understanding of the financial advisory business and meeting the client's needs that he applies to his current practice.

Mr. Cunningham earned a BA in Business Administration in 1987 from Gustavus Adolphus College in St. Peter, Minnesota.

Additional information regarding Mr. Cunningham's employment history is included below.

Managing Principal – GS Investments, Inc.	10/10 to Present
Senior Manager – Ameriprise Financial	8/94 to 9/09
Jostens	5/88 to 8/94

## **Item 3 – Disciplinary Information**

There are no legal, civil or disciplinary events to disclose regarding Mr. Cunningham. Mr. Cunningham has never been involved in any regulatory, civil or criminal action. Additionally, there have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Cunningham.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter

that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Cunningham.

GS Investments does encourage its current and prospective clients to independently view the background of Mr. Cunningham on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

#### **Item 4 – Other Business Activities**

Disclosure on Outside Business Activities is provided in Form ADV Part 2A Item 10 – Other Financial Industry Activities and Affiliations above. These Outside Business Activities do not create a material conflict of interest with clients of the Firm.

Mr. Cunningham has no current outside business affiliations.

#### **Item 5 – Additional Compensation**

As disclosed in Form ADV Part 2A Item 5, Mr. Cunningham receives no commissions, bonuses or other compensation based on the sale of securities or other investment products.

#### **Item 6 – Supervision**

Mr. Cunningham serves as a Managing Principal with GS Investments. Mr. Cunningham can be reached at (612) 371-0590 or via email at [greg@gsinvestments.com](mailto:greg@gsinvestments.com).

GS Investments has implemented a Code of Ethics and internal compliance procedures helping each employee meet their fiduciary obligations to clients of the Firm. Further, GS Investments is required to register with the Securities and Exchange Commission (“SEC”). As a registered entity, the Firm is subject to examinations by regulators, which may be announced or unannounced. GS Investments is required to periodically update the information provided to these authorities and to provide various reports regarding the business activities and assets of the Firm.

#### **A. GS Investments Will Keep its Clients Informed**

GS Investments will send its clients notice of the Firm’s privacy policy annually for as long as the client is engaged with the Firm. Periodically, the Firm may revise its privacy policy, and will provide its clients with a revised policy if the changes materially alter the previous privacy policy. The Firm will not, however, revise its privacy policy to

permit the sharing of non-public, personal information other than as described in this notice unless the Firm first notifies its clients and provides them with an opportunity to

prevent the information sharing. Clients may obtain a copy of the Firm's current privacy policy by contacting us at (612) 371-0590 or via email at [john@gsinvestments.com](mailto:john@gsinvestments.com).