

SUPERVISED PERSON BROCHURE

FORM ADV PART 2B

Matthew D. Hickey, CWS



CAPITAL ASSET MANAGEMENT, LLC
— PRIVATE WEALTH ADVISORS —

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This brochure supplement provides information about Matthew D. Hickey and supplements the Capital Asset Management, LLC brochure. You should have received a copy of that brochure. Please contact Matthew D. Hickey if you did not receive the brochure or if you have any questions about the contents of this supplement.

Additional information about Matthew D. Hickey (CRD #1538384) is available on the SEC's website at www.adviserinfo.sec.gov.

April 2024

Brochure Supplement (Part 2B of Form ADV)

Matthew D. Hickey, CWS

- ☐ Year of birth: 1961

Item 2: Educational Background and Business Experience

Educational Background:

- ☐ University of Denver; BS/BA; 1984

Business Experience:

- ☐ Capital Asset Management, LLC; Managing Member/Investment Advisor Representative; 06/2016 to Present
- ☐ Matthew Hickey, Sole Proprietor; Insurance Agent; 08/1984 to Present
- ☐ Cetera Advisors, LLC, Inc.; Registered Representative; 09/2022 to Present
- ☐ First Allied Securities, Inc.; (Now Cetera) Registered Representative; 05/2008 to 09/2022
- ☐ First Allied Advisory Services, Inc.; Investment Advisor Representative; 07/2012 to 12/2019
- ☐ First Allied Securities, Inc.; Investment Advisor Representative; 05/2008 to 07/2012
- ☐ Multi-Financial Securities Corporation; Registered Representative; 05/1998 to 05/2008
- ☐ Multi-Financial Securities Corporation; Investment Advisor Representative; 05/1998 to 05/2008
- ☐ Jefferson Pilot Securities Corporation; Registered Representative; 10/1997 to 06/1998

Professional Certifications:

CERTIFIED WEALTH STRATEGIST®: The Certified Wealth Strategist® (CWS) utilizes a blended learning approach that includes instructor-led training, 13 Wealth Management Issues study guides, on-line mastery exams, conversation skill builders and e-Lessons. The learning experience culminates with a Capstone Project: a written document demonstrating a sustainable framework which applies the new knowledge and skills to the practitioner's business. The program provides the knowledge, the practice management formula, and the critical Client interaction skills to create and build a dynamic Wealth Advisory practice that works effectively with complex Client issues.

- ☐ Issuing Organization - CWS is currently offered and recognized by the issuing organization of Cannon Financial Institute.
- ☐ Prerequisites – Three years of experience in the financial services industry that must also include direct interaction with Clients and a 4-year degree from an accredited school.
- ☐ Examination Type – Ten Mastery Exams, one for each directed study module.
- ☐ Continuing Education Requirements – 33 hours every two years.
- ☐ Education Requirements – Candidates must complete the following:
 - Two instructor-led training sessions
 - Self-directed study on numerous wealth management issues
 - Capstone project

Qualified Plan Financial Consultant: The Qualified Plan Financial Consultant (QPFC) is the professional credential for financial professionals who sell, advise, market or support qualified retirement plans. The QPFC program provides an understanding of general retirement planning concepts, terminology, distinctive features of qualified plans and the role of retirement plan professionals. QPFC is for professionals with two to three years of retirement plan experience. A candidate will be expected to demonstrate a general proficiency of plan administration, compliance, investment, fiduciary, and ethics issues.

- ☐ Issuing Organization- The National Association of Plan Advisors (NAPA)
- ☐ Prerequisites- a candidate must meet **one** of the following requirements:
 - Series 6, 7 or 65 license issued by the FINRA + 2 Years Retirement Plan Experience
 - State-Life or Annuity Insurance License + 2 Years Retirement Plan Experience
 - Investment Advisor Representative or Registered Investment Advisor credential + 2 Years Retirement Plan Experience
 - No existing licensing/credential + 3 Years retirement Plan Experience
- ☐ Examination Type: Pass the CPFA/QPFC Exam
- ☐ Continuing Education Requirements- QPFC credentialed members must acquire 10 hours of Continuing Education (CE) credits (1 of these must be Ethics) annually and renew NAPA Membership annually to retain credentials.

Item 3: Disciplinary Information

- ☐ Criminal or Civil Action: None to report.
- ☐ Administrative Proceeding: None to report.
- ☐ Self-Regulatory Proceeding: None to report.

Item 4: Other Business Activities Engaged In

Matthew Hickey is a registered representative of Cetera Advisors FKA First Allied Securities, Inc. This entity is not affiliated with CAM. Approximately 10% of Mr. Hickey's time is spent on this business.

Managing Member Matthew Hickey is also a licensed insurance agent as Matthew Hickey, Sole Proprietor. From time to time, he will offer Clients advice or products from those activities. Less than 10% of his time is spent on the sale of insurance products.

These practices represent conflicts of interest because it gives an incentive to recommend products based on the commission amount received rather than on Client's needs. This conflict is mitigated by disclosures, procedures, and the firm's Fiduciary obligation to place the best interest of the Client first and will act in accordance with those responsibilities. Clients have the right to purchase these products through another insurance agent, broker, or investment advisor representative of their choosing.

Item 5: Additional Compensation

Mr. Hickey receives additional compensation as an insurance agent and as a registered representative of a broker dealer but he does not receive any performance based fees.

Item 6: Supervision

Since Mr. Hickey is the sole owner of Capital Asset Management, LLC, he is solely responsible for all supervision and formulation and monitoring of investment advice offered to Clients. He will adhere to the policies and procedures as described in the firm's Compliance Manual.