

Form ADV Part 2B – Brochure Supplement

for

Michael P. Wicks, CFP®
Wealth Strategist

Effective: March 22, 2024

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Michael P. Wicks (CRD# 2546082) in addition to the information contained in the Synergy Investment Management, LLC (“Synergy” or the “Advisor”, CRD# 305961) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Synergy Disclosure Brochure or this Brochure Supplement, please contact us at (321) 203-4458.

Additional information about Mr. Wicks is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 2546082.

Item 2 – Educational Background and Business Experience

Michael P. Wicks, CFP® born in 1970, is dedicated to advising Clients of Synergy as a Wealth Strategist. Mr. Wicks earned a Bachelor's degree from Florida State University in 1992. Additional information regarding Mr. Wicks's employment history is included below.

Employment History:

Wealth Strategist, Synergy Investment Management, LLC	02/2024 to Present
Registered Representative, LPL Financial	03/2007 to Present
Investment Advisor Reporesentative, Private Advisor Group, LLC	09/2018 to 02/2024
Investment Advisor Representative, Independent Financial Partners	05/2008 to 01/2019

CERTIFIED FINANCIAL PLANNER™ ("CFP®")

The CERTIFIED FINANCIAL PLANNER™, CFP®, and federally registered CFP® (with flame design) marks (collectively, the "CFP® marks") are professional certification marks granted in the United States by CERTIFIED FINANCIAL PLANNER™ Board of Standards, Inc. ("CFP® Board").

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 87,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real-world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP®.

Item 3 – Disciplinary Information

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.

Mr. Wicks was found liable for violating section 517.12(4) of Florida Statutes for rendering investment advice, from a location in Florida, without being registered by the office. On October 25, 2023, Mr. Wicks consented to the entry of findings by the Office of Financial Regulation, and was required to pay an administrative fine in the amount of \$30,000.

We do encourage you to independently view the background of Mr. Wicks on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 2546082.

Item 4 – Other Business Activities

Broker-Dealer Affiliation

Mr. Wicks is also a registered representative of LPL Financial, LLC (“LPL”). LPL is a registered broker-dealer (CRD# 6413), member FINRA, SIPC. In Mr. Wicks’s separate capacity as a registered representative, Mr. Wicks will receive commissions for the implementation of recommendations for commissionable transactions. Clients are not obligated to implement any recommendation provided by Mr. Wicks. Neither the Advisor nor Mr. Wicks will earn ongoing investment advisory fees in connection with any products or services implemented in Mr. Wicks’s separate capacity as a registered representative. Mr. Wicks spends approximately 20% of his time per month in his role as a registered representative of LPL Financial, LLC.

Synergy Wealth Alliance

Mr. Wicks is a registered representative under Synergy Wealth Alliance, LLC, the dba entity for LPL Financial business. Mr. Wicks spends approximately 20% of his time per month in this capacity.

St. John’s County Tourist Development Council

Mr. Wicks is also a member of the St. John’s County Tourist Development Council. In his role as a member, Mr. Wicks attends council meetings and makes recommendations to the county commission. Mr. Wicks is not compensated in this role, and he spends less than 5% of his time per month in this capacity.

Item 5 – Additional Compensation

Mr. Wicks has additional business activities where compensation is received that are detailed in Item 4 above.

Item 6 – Supervision

Mr. Wicks serves as a Wealth Strategist of Synergy and is supervised by Christopher Bordner, the Chief Compliance Officer. Mr. Bordner can be reached at (321) 203-4458.

Synergy has implemented a Code of Ethics, an internal compliance document that guides each Supervised Person in meeting their fiduciary obligations to Clients of Synergy. Further, Synergy is subject to regulatory oversight by various agencies. These agencies require registration by Synergy and its Supervised Persons. As a registered entity, Synergy is subject to examinations by regulators, which may be announced or unannounced. Synergy is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.