

Form ADV Part 2A: *Firm Brochure*

Item 1 – Cover Page

Empoweris Technology Solutions, LLC

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Date of Disclosure Brochure: April 2016

This disclosure brochure provides information about the qualifications and business practices of Empoweris Technology Solutions, LLC (also referred to as we, us and Empoweris throughout this disclosure brochure). If you have any questions about the contents of this disclosure brochure, please contact Robert Hayden at 203-682-4534 or rhayden@empoweris360.com. The information in this disclosure brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Additional information about Empoweris is also available on the Internet at www.adviserinfo.sec.gov. You can view our firm's information on this website by searching for Empoweris Technology Solutions, LLC or our firm's CRD number 281937.

*Registration as an investment adviser does not imply a certain level of skill or training.

Item 2 – Material Changes

Empoweris is a newly registered investment adviser, and this disclosure brochure dated April 2016 is the first disclosure brochure prepared by our firm. In the future, this item will discuss only specific material changes that are made to the disclosure brochure and provide readers with a summary of such changes. We will also reference the date of the last annual update of this disclosure brochure.

We will ensure that you receive a summary of any material changes to this and subsequent disclosure brochures within 120 days after our firm's fiscal year ends. Our firm's fiscal year ends on December 31, so you will receive the summary of material changes no later than April 30 each year. At that time we will also offer or provide a copy of the most current disclosure brochure. We may also provide other ongoing disclosure information about material changes as necessary.

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Item 4 – Advisory Business

Empoweris is an investment adviser registered with the United States Securities and Exchange Commission (“SEC”). We provide advice through a web-based application to our clients.

- Total Alignment Wealth Advisors, LLC is a forty-five percent (45%) controlling member of Empoweris.
 - TA Members LLC is the controlling member of Total Alignment Wealth Advisors, LLC. No one individual controls more than 25% of TA Members LLC.
 - Robert Hayden, Empoweris Investment Adviser Representative and Chief Compliance Officer, owns 15% of Total Alignment Wealth Advisors, LLC
- Ed Levene controls forty percent (40%) of Empoweris as trustee of a private trust which is a 40% controlling member of Empoweris.
- Empoweris has been in business since April 2016 which is also when it filed its initial application to become registered as an investment adviser.

Description of Advisory Services

Empoweris is an online community that empowers individuals at all wealth levels to organize, analyze and prioritize their financial situation from one single-source financial technology system. Our services are provided solely through an interactive website using computer-based models and applications to collect your information and provide financial planning advice and data aggregation.

When providing financial planning and other consulting services, the role of Empoweris is to find ways to help you understand your overall financial situation and help you set financial objectives. Written financial plans prepared by us do not include specific recommendations of individual securities. Our financial planning and consulting services do not involve implementing investment transactions on your behalf or the active and ongoing monitoring or management of your investments or accounts. You have the sole responsibility for determining whether to implement our financial planning and consulting recommendations. Our services may cover specific or multiple topics. Our plans will address one or more of the following topics as applicable to your individual needs.

- Debt Management
- Interest Rates
- Tax Consequences
- Insurance Needs
- Estate Plans
- Analysis of your Investment Advisors and other Financial Professionals

To determine your financial situation, we will need to obtain certain information from you through our interactive website. You will be responsible for providing any changes to your financial situation by updating your responses on our website so that we can update your financial profile and planning recommendations.

Referral of Third-Party Money Managers

Although we do not manage client accounts, purchase or sell investments for our clients, we are able to refer clients to third-party money managers offering asset management and other investment advisory services. The third-party managers are responsible for continuously monitoring client accounts and making trades in client accounts when necessary. As a result of the referral, we are paid a portion of the fee charged and collected by the third-party money managers in the form of solicitor fees. Each solicitation arrangement is performed pursuant to a written solicitation agreement and is in compliance with SEC Rule 206(4)-3 and applicable state securities rules and regulations.

Under this program, we assist you with identifying your risk tolerance and investment objectives. We recommend third-party money managers in relation to your stated investment objectives and risk tolerance, and you may select a recommended third-party money manager or model portfolio based upon your needs. You must enter into an agreement directly with the third-party money manager who provides your designated account with asset management services.

The third-party money manager will take discretionary authority to determine the securities to be purchased and sold for your account. We do not have any trading authority with respect to your designated account managed by the third-party money manager.

One of the third-party money managers we recommend is TA Capital Management, LLC ("TA Capital"), a related company. Our parent company, Total Alignment Wealth Advisors, LLC, is the controlling member of TA Capital, LLC. Due to our affiliation with Total Alignment Wealth Advisors, LLC and TA Capital, we have a conflict of interest when recommending TA Capital over other third-party money managers. Our recommendation of TA Capital may be based on our own financial interests and not necessarily solely based on our client's receiving unbiased third-party money manager recommendations. To control for this conflict of interest, we plan to enter into agreements with and recommend other, unaffiliated third-party money managers.

Although we review the performance of numerous third-party investment adviser firms, we enter into only a select number of relationships with third-party investment adviser firms that have agreed to pay us a portion of the overall fee charged to our clients. Therefore, Empoweris has a conflict of interest in that it will only recommend third-party investment advisors that will agree to compensate us for referrals of our clients.

Clients are advised that there may be other third-party managed programs not recommended by our firm, that are suitable for the client and that may be more or less costly than arrangements recommended by our firm. No guarantees can be made that a client's financial goals or objectives will be achieved by a third-party investment adviser recommended by our firm. Further, no guarantees of performance can ever be offered by our firm (*Please refer to Item 8 – Methods of Analysis, Investment Strategies and Risk of Loss for more details.*)

Limits Advice to Certain Types of Investments

We do not recommend specific securities or investments, but our services may include general reviews and analysis regarding mutual funds, equities, bonds, fixed income, debt securities, ETFs, REITs, insurance products including annuities, private placements, and government securities.

Client Assets Managed by Empoweris

Empoweris does not directly provide investment supervisory or asset management services. Investment supervisory or asset management services mean providing you with continuous and on-going supervision over your accounts and continuously monitoring your account and make trades in that account when necessary. We do not sponsor or participate in wrap-fee programs. However, third-party money managers we may recommend to clients

Item 5 – Fees and Compensation

There is a fixed fee of \$20 per month for our service. Fees are charged monthly, in advance and are considered earned upon our receipt of the payment. Our service is intended to be on-going and will remain at the set price of \$20 per month.

The monthly fixed fee allows unlimited access to our website and allows unlimited updates to your financial plan and our recommendations. Fees are collected online, through our website using a credit card or ACH payment.

You may terminate access to our website upon providing Empoweris with notice of termination any time prior to the due date of the next monthly payment without penalty and with no fees due. We will provide access to the website during the final month after notice of termination is received. At the end of the month, your access to the website will end and no further fees are due.

Fees paid to Empoweris for consulting services are separate and distinct from the commissions charged by a broker-dealer, custodian fees, mutual fund expenses or asset management fees charged by an investment adviser to implement investments. We do not receive any portion of such commissions, fees or expenses.

Recommendation of Third-Party Money Managers

If you decide to work with a third-party money manager recommended by our firm, we will receive 10% of the total fee you are charged by the third-party money manager.

Third-party managers generally have account minimum requirements that will vary among third-party money managers. Account minimums are generally higher on fixed income accounts than for equity based accounts. A complete description of the third-party money manager's services, fee schedules and account minimums will be disclosed in the third-party money manager's disclosure brochure which will be provided to you prior to or at the time an agreement for services is executed and the account is established.

The actual fee charged to you will vary depending on the third-party money manager. All fees are calculated and collected by the third-party money manager who will be responsible for delivering our portion of the fee paid by you to us.

You may incur additional charges including but not limited to, mutual fund sales loads, 12b-1 fees and surrender charges, and IRA and qualified retirement plan fees.

We have a conflict of interest by only offering those third-party money managers that have agreed to pay a portion of their advisory fee to us and have met the conditions of our due diligence review. There may be other third-party money managers that may be suitable for you that may be more or less costly. No

guarantees can be made that your financial goals or objectives will be achieved. Further, no guarantees of performance can be offered.

Seminars

Our firm will offer seminars through our website only which clients will be able to electively attend. We will typically charge \$499 and up for attending one of our seminars online. Employers will pay on a per-presentation basis.

If you cancel prior to attending the seminar, a complete refund of any fee paid in advance is made. In addition, if we are hired by larger groups, such as corporations, we reserve the right to charge fees to cover the expenses incurred by us for presenting the seminars. In this case, all fees and payment provisions will be fully disclosed to you prior to the seminar being presented.

Item 6 – Performance-Based Fees and Side-By-Side Management

Performance-based fees are defined as fees based on a share of capital gains on or capital appreciation of the assets held in a client's account. *Item 6* is not applicable to this Disclosure Brochure because we do not charge or accept performance-based fees.

Item 7 – Types of Clients

Our services are intended for individual clients. We hope to engage corporate employers to sponsor monthly subscriptions of Empoweris to its employees.

In order to utilize Empoweris' internet based financial tool, clients are required to enter into a monthly subscription with fees charged at \$20 per month.

Third-party money managers may have minimum account and minimum fee requirements in order to participate in their programs. Each-third party money manager will disclose its minimum account size and fees in its Form ADV Part 2A Disclosure Brochure.

Investors evaluating Empoweris' web based service should be aware that Empoweris' relationship with clients is likely to be different from the "traditional" investment advisor relationship in several aspects:

1. Empoweris is a software based investment advisor which means each client must acknowledge her ability and willingness to conduct her relationship with Empoweris on an electronic basis. Under the terms of our agreement, each client agrees to receive all information and documents (including this Brochure), and any updates or changes to same, through their access to our website and Empoweris electronic communications. Unless noted otherwise on the website or within this Brochure, Empoweris' advisory service, the signature for our client agreement, and all documentation related to the advisory services are managed electronically. Empoweris does make individual representatives available to discuss servicing matters with clients. Such correspondence will be conducted through our interactive website.
2. To provide its advisory services and tailor its investment decisions to each client's specific needs, Empoweris collects information from each client, including specific information about their investing profile such as financial situation, investment experience, and investment objectives. Empoweris maintains this information in strict confidence subject to our Privacy Policy. When customizing our investment solutions, Empoweris relies upon the information received from a client. Although

Empoweris contacts its clients periodically as described further in Item 13 below, a client must promptly notify Empoweris of any change in his or her financial situation or investment objectives that might require a review or revision of his or her plan.

Item 8 – Methods of Analysis, Investment Strategies and Risk of Loss

We primarily focus our methods of analysis and develop strategies around various topics and areas of concern related to financial planning. Financial planning services do not involve the active management of client accounts, but instead focuses on a client's overall financial situation. Financial planning can be described as helping individuals determine and set their long-term financial goals, through investments, tax planning, asset allocation, risk management, retirement planning, and other areas. The role of a financial planner is to find ways to help the client understand his/her overall financial situation and help the client set financial objectives.

Past performance is not indicative of future results. Therefore, you should never assume that future performance of any specific investment or investment strategy will be profitable. Investing in securities (including stocks, mutual funds, and bonds, etc.) involves risk of loss. Further, depending on the different types of investments there may be varying degrees of risk. You should be prepared to bear investment loss including loss of original principal.

Because of the inherent risk of loss associated with investing, our firm is unable to represent, guarantee, or even imply that services and methods of analysis, including those used by third-party money managers we recommend, can or will predict future results, will be successful, or guarantee your financial well-being.

Additionally, there are certain risks associated with utilizing automated investment tools like the one offered by Empoweris.

- Our investment tool is programmed to use certain financial assumptions that may not be updated in a timely manner or shifts in the economy.
- The output of the automated planning tool depends upon the accuracy of the information you input into the tool.
- There may be certain factors or variables which have not been included in the automated planning tool. To the extent some questions are over-generalized, ambiguous or designed to fit a pre-determined option, the output may not be right for all investor's needs or goals.
- By only using the automated planning service, investors could lose out on the value of human judgment, interaction, empathy and oversight. Investors may lose out on these qualities when interacting with only a computer program.

Item 9 – Disciplinary Information

Item 9 is not applicable to this Disclosure Brochure because there are no legal or disciplinary events that are material to a client's or prospective client's evaluation of our business or integrity.

Item 10 – Other Financial Industry Activities and Affiliations

Empoweris is **not** and does **not** have a related person that is a broker/dealer, municipal securities dealer, government securities dealer or broker, an investment company or other pooled investment vehicle (including a mutual fund, closed-end investment company, unit investment trust, private investment company or "hedge fund," and offshore fund), , a futures commission merchant, commodity pool operator, or commodity trading advisor, a banking or thrift institution, an accountant or accounting firm, a lawyer or law firm, an insurance company or agency, a pension consultant, a real estate broker or dealer, and a sponsor or syndicator of limited partnerships.

Empoweris is owned by Total Alignment Wealth Advisors, LLC which also controls TA Capital Management, LLC. We share personnel, office space and resources (i.e. telephone, office supplies, computer) with both firms.

Robert Hayden is also an owner, investment advisor representative and the Chief Wealth Advisor with Total Alignment Wealth Advisors, LLC, which is an investment advisor providing direct investment advice and planning services to clients. Mr. Hayden generally spends more of his time on Total Alignment Wealth Advisors, LLC, functions than he does on Empoweris responsibilities. Total Alignment Wealth Advisors, LLC and Empoweris do not share clients, but instead service different types of clientele. Total Alignment Wealth Advisors, LLC is a more-traditional retail investment advisory firm working with clients on a one-on-one, personal basis whereas Empoweris provides investment management services over the internet to clients seeking a lower-cost alternative to traditional, retail investment advisory platforms.

We are able to recommend third-party money managers for you. One of which is, TA Capital Management, LLC a related company of Empoweris. Once you select the third-party money manager to manage all or a portion of your assets, the third-party money manager will pay us a portion of the fees you are charged. Please refer to *Items 4 and 5* for full details regarding the programs, fees, conflicts of interest and materials arrangements when Empoweris selects other investment advisers.

Item 11 – Code of Ethics, Participation in Client Transactions and Personal Trading

Code of Ethics Summary

According to the *Investment Advisers Act of 1940*, an investment adviser is considered a fiduciary and has a fiduciary duty to all clients. Empoweris has established a Code of Ethics to comply with the requirements of Section 204(A)-1 of the *Investment Advisers Act of 1940* that reflects its fiduciary obligations and those of its supervised persons. The Code of Ethics also requires compliance with federal securities laws. The Code of Ethics covers all individuals that are classified as "supervised persons". All employees, officers, directors and investment adviser representatives are classified as supervised persons. Empoweris requires its supervised persons to consistently act in your best interest in all advisory activities. Empoweris imposes certain requirements on its affiliates and supervised persons to ensure that they meet the firm's fiduciary responsibilities to you. The standard of conduct required is higher than ordinarily required and encountered in commercial business.

This section is intended to provide a summary description of the Code of Ethics of Empoweris. If you wish to review the Code of Ethics in its entirety, you should send us a written request and upon receipt of your request, we will promptly provide a copy of the Code of Ethics to you.

Affiliate and Employee Personal Securities Transactions Disclosure

Empoweris does not typically recommend specific securities to clients nor does the firm buy or sell securities for client accounts. In some situations, we may personally own or be considering the purchase of securities that are also held by our clients. However, our decision to personally invest in a security is not based on our client holdings.

Item 12 – Brokerage Practices

Our services do not include the selection or recommendation of broker-dealers to be used for implementation of client securities transactions.

Item 13 – Review of Accounts

Account Reviews and Reviewers

On-going financial planning and consulting services do not include automatic monitoring of the investments held in your account(s), and therefore, automatic reviews of your account(s) are not provided. However, your monthly subscription provides you with unlimited access to our planning tool and allows for unlimited updates.

Statements and Reports

We provide written financial plans and other written reports related to your financial situation through our website.

Item 14 – Client Referrals and Other Compensation

Empoweris does not directly or indirectly compensate any person for client referrals.

The only compensation received from advisory services is the fees charged for providing investment advisory services as described in *Item 5* of this Disclosure Brochure. Empoweris receives no other forms of compensation in connection with providing investment advice.

Item 15 – Custody

Custody, as it applies to investment advisors, has been defined by regulators as having access or control over client funds and/or securities. In other words, custody is not limited to physically holding client funds and securities. If an investment adviser has the ability to access or control client funds or securities, the investment adviser is deemed to have custody and must ensure proper procedures are implemented. According to this definition, Empoweris does **not** have custody of client funds or securities.

Item 16 – Investment Discretion

Empoweris does not have discretionary authority for any client accounts.

Item 17 – Voting Client Securities

Empoweris will not ask for, nor accept voting authority for client securities. Clients will receive proxies directly from the issuer of the security or the custodian. Clients should direct all proxy questions to the issuer of the security.

With respect to assets managed by a third-party money manager, we will not vote the proxies associated with these assets. You will need to refer to each third-party money manager's disclosure brochure to determine whether the third-party money manager will vote proxies on your behalf. You may request a complete copy of third-party money manager's proxy voting policies and procedures as well as information on how your proxies were voted by contacting the third-party money manager or by contacting Empoweris at the address or phone number indicated on Page 1 of this disclosure document.

Item 18 – Financial Information

This *Item 18* is not applicable to this brochure. Empoweris does not require or solicit prepayment of more than \$1200 in fees per client, six months or more in advance. Therefore, we are not required to include a balance sheet for the most recent fiscal year. We are not subject to a financial condition that is reasonably likely to impair our ability to meet contractual commitments to clients. Finally, Empoweris has not been the subject of a bankruptcy petition at any time.

Customer Privacy Policy Notice

In November of 1999, Congress enacted the Gramm-Leach-Bliley Act (GLBA). The GLBA requires certain financial institutions, such as investment advisor firms, to protect the privacy of customer information. In situations where a financial institution does disclose customer information to nonaffiliated third parties, other than permitted or required by law, customers must be given the opportunity to opt out or prevent such disclosure. Empoweris does not share or disclose customer information to nonaffiliated third parties except as permitted or required by law.

Commitment to Your Private Information. Empoweris is committed to safeguarding the confidential information of its clients. Empoweris holds all personal information provided by clients in the strictest confidence and it is the objective of the firm to protect the privacy of all clients. Except as permitted or required by law, the firm does not share confidential information about clients with nonaffiliated parties. In the event that there were to be a change in this policy, the firm will provide clients with written notice and clients will be provided an opportunity to direct Empoweris as to whether such disclosure is permissible.

Why We Collect and How We Use Information. To conduct regular business, Empoweris may collect personal information from sources such as:

- Information reported by the client on applications or other forms the client provides to the firm
- Information about the client's transactions implemented by others
- Information developed as part of analyses or investment advisory services

To administer, manage, service, and provide related services for client accounts, it is necessary for Empoweris to provide access to customer information within the firm and to nonaffiliated companies, with whom the firm has entered into agreements with. To provide the utmost service, the firm may disclose the information below regarding customers and former customers, as necessary, to companies to perform certain services on the firm's behalf.

- Information Empoweris receives from the client on applications (name, social security number, address, assets, etc.)
- Information about the client's transactions with others (account information, payment history, parties to transactions, etc.)
- Information about a client's financial products and services transaction with Empoweris

Sharing Information with Other Companies Permitted Under Law. Since Empoweris shares nonpublic information solely to service client accounts, the firm does not disclose any nonpublic personal information about our customers or former customers to anyone, except as permitted by law. However, the firm may also provide customer information outside of the firm as required by law, such as to government entities, consumer reporting agencies or other third parties in response to subpoenas. In the event that our firm has a change to its customer privacy policy that would allow it to disclose non-public information not covered under applicable law, we will allow our clients the opportunity to opt out of such disclosure.

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