

# **DISCLOSURE BROCHURE**

## **Accelerated Wealth Advisors LLC**

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This Brochure provides information about the qualifications and business practices of Accelerated Wealth Advisors LLC. Being registered as an investment advisor does not imply a certain level of skill or training. If you have any questions about the contents of this Brochure, please contact us at 719-466-5631. The information in this Brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Additional information about Accelerated Wealth Advisors LLC (CRD #170022) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)

**August 3, 2021**

## **Item 2: Material Changes**

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### **Annual Update**

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This item discusses only specific material changes that are made to the Brochure since the Firm's last annual update. It will also reference the date of the last annual update of the brochure. Since the Firm's last update dated April 29, 2021, the Firm has had no material changes.

We will ensure that you receive a summary of any material changes to this and subsequent Brochures within 120 days of the close of our business' fiscal year, which is December 31. We will further provide you with a new Brochure as necessary based on changes or new information, at any time, without charge.

### **Full Brochure Available**

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Whenever you would like to receive a complete copy of the Brochure, please contact us by telephone at 719-466-5631.

### **Item 3: Table of Contents**

#### **Form ADV – Part 2A – Firm Brochure**

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## Item 4: Advisory Business

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### Firm Description

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Accelerated Wealth Advisors, LLC (“we,” or the “Firm”) initially became registered as a State Registered Investment Advisor on September 18, 2014. However, the Firm is now currently registered with the United States Securities and Exchange Commission (“SEC”) effective November 10, 2016 and is a notice filer in the states in which the Firm conducts business.

The Firm’s registration as an Investment Advisor does not imply any level of skill or training. The oral and written communications the Firm provides to you, including this Brochure, are intended to be used to evaluate the Firm against other Investment Advisors in connection with your decision to hire the Firm or to continue to maintain a business relationship with the Firm. This Brochure provides information about our qualifications and business practices.

### Ownership

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Accelerated Wealth Advisors, LLC (“AWA”) was formed as a limited liability company on October 31, 2013, and is headquartered in Colorado Springs, Colorado. Arche Media, LLC is the sole member of the Firm. MAJ Trust is the majority owner of Arche Media, LLC. MAJ Trust is an Irrevocable Trust Grantor Trust established by Bill and Nathalie Walton for estate planning purposes whose Trustee is Premier Trust.

### Types of Advisory Services

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AWA offers a comprehensive range of customized investment consulting services on a discretionary and non-discretionary basis. AWA’s primary services include the following.

- *Policy Review/Strategy Design*
  - Develop/Review Investment Policy
  - Creation of Strategic Asset Allocation
  - Define Tactical parameters for asset classes and managers (e.g. min/max ranges)
  - Determine service level such as level of discretion, meeting requirements, role of the investment committee, etc.
- *Strategy Implementation*
  - Utilize AWA’s investment framework to develop investment solutions for clients through which AWA’s Research, Technology and Service are custom tailored to meet investment and reporting needs.
- *Monitor/Evaluate/Report*
  - Monitor compliance with policies
  - Evaluate effectiveness of strategy v. goals.
  - On-going investment manager due diligence
  - Performance evaluation reporting
- *Tactical Recommendations/Actions*
  - Rebalancing
  - Overweight/Underweight managers and/or strategies

AWA also provides special project services, research services and performance measurement services upon request. Licenses and services available vary by office location.

The Firm may also offer financial planning services to its clients. These services will be provided on an hourly, flat fee or no-fee basis. This fee, if any, will be agreed upon in writing between the client(s) and the Firm. As such, the client should refer to the specific agreement between themselves and the Firm.

The Firm also offers services to individuals who intend to affect an IRS Section 1031 Exchange. Specifically, the Firm will offer beneficial interests in Delaware Statutory Trusts ("DST") as provided through RCX Capital Group, LLC, member FINRA, on an advisory basis ("Alternative Investments"). The Firm has entered into an agreement with RCX Capital Group, LLC on or about effective October 18, 2018.

## **TYPES OF INVESTMENTS**

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Our investment recommendations are not limited to any specific product or service offered by an investment advisor. We may provide advice and guidance on any financial product deemed appropriate as a means to address a client's individual needs, goals and objectives.

We do not offer or participate in any wrap fee programs.

## **PORTFOLIO MANAGEMENT SERVICES**

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The Firm provides investment advisory services on both a discretionary and a non-discretionary basis. The Firm's advisory program is designed to provide you with the appropriate asset allocation, diversification and risk characteristics consistent with your investment objectives and prudent investment advice.

On a discretionary basis, the Firm designs, revises and reallocates custom portfolios for its clients. The investments in the Firm's discretionary portfolios are determined based upon the relevant client's investment objectives, risk tolerance, net worth, net income, age, investment time horizon, tax situation and other various suitability factors.

On a non-discretionary basis, the Firm may provide investment advisory services to its clients relative to investment products individuals or entities may own or use in the future such as life/annuity products, individual employer-sponsored retirement plans, private investment funds or other products that may not be held by your primary custodian. In providing non-discretionary services, the Firm will recommend either the allocation of client assets among the various investment options that are available within the product or the specific private investment vehicles, as applicable. Client non-discretionary assets are maintained and custodied with the relevant insurance company, custodian or administrator designated by the specific product.

The Firm currently offers the following proprietary model portfolios:

**AWP Efficient** is an equity and bond investment strategy that seeks long-term capital gains by remaining invested in equities during long-term bull markets. The strategy uses a proprietary trend signal to determine the amount to be allocated to equities along with a constant allocation to bonds. The goal is to have exposure to the growth qualities of equities in a tax efficient way while taking less risk than passive strategies.

**AWP Foundation** is a risk-managed equity and bond investment strategy that seeks to rotate into the world's strongest broad stock and bond markets based upon proprietary trend and momentum signals. The goal is to have exposure to the growth qualities of equities with less risk and volatility than passive strategies.

**AWP Adaptive 10** is a risk-managed equity and bond investment strategy that seeks to rotate into the world's strongest stock and bond markets based upon proprietary trend and momentum signals. It maintains a constant allocation to bonds as a diversifier and uses hedging techniques in bear markets to protect capital. The goal is to provide exposure to the growth qualities of equities with less risk and volatility than passive strategies. This strategy is no longer accepting new investors.

**AWP Adaptive 15** is a risk-managed equity and bond investment strategy that seeks to rotate into the world's strongest stock and bond markets based upon proprietary trend and momentum signals. It is fully invested and selects stock sectors in bull markets to take advantage of momentum and employs hedging techniques in bear markets to protect capital. The goal is to provide exposure to the growth qualities of equities with less risk and volatility than passive strategies.

**Breakaway 7** is a risk-managed equity and bond investment strategy that seeks to rotate into the strongest S&P 500 stocks monthly based on a quantitative ranking system that is designed to identify stocks that are breaking out of their long-term trend. It is equally invested in seven S&P 500 stocks during periods when both long-term and intermediate trending systems are positive, and in bonds during periods when one of the systems is negative. The goal is to capture the performance of the stocks that drive most of the performance within the S&P 500 while protecting from large losses by moving to bonds during times of protracted market declines.

**Hedged Strategic Growth** strategy seeks capital appreciation from worldwide equity markets. The goal is to create long-term growth through strategic allocations to known market factors and global themes while maintaining a defensive tactical overlay to reduce losses in falling markets. The strategy holds a basket of global growth stocks that are positioned to benefit from technical innovation and the evolving world economy.

**Passive Asset Allocation (PAA) USA** strategies seek to match the performance of the MSCI USA Index and the US Aggregate Bond Index in the allocation percentages listed below. The goal is to capture 100% of the underlying market beta of the USA equity and bond markets by investing in the index components. The equity holdings are a basket of large and mid-cap stocks that represent both value and growth styles. The bond holdings cover most US traded investment grade bonds.

PAA USA 100 (100% MSCI USA Index)

PAA USA 80-20 (80% MSCI USA Index / 20% US Aggregate Bond Index)

PAA USA 60-40 (60% MSCI USA Index / 40% US Aggregate Bond Index)

PAA USA 40-60 (40% MSCI USA Index / 60% US Aggregate Bond Index)

**Passive Asset Allocation (PAA) World** strategies seek to match the performance of the MSCI World Index and the US Aggregate Bond Index in the allocation percentages listed below. The goal is to capture 100% of the underlying market beta of the world equity and bond markets by investing in the index components. The equity holdings are a basket of large and mid-cap stocks that represent both value and growth styles. The bond holdings cover most US traded investment grade bonds.

PAA World 100 (100% MSCI World Index)

PAA World 80-20 (80% MSCI World Index / 20% US Aggregate Bond Index)

PAA World 60-40 (60% MSCI World Index / 40% US Aggregate Bond Index)

PAA World 40-60 (40% MSCI World Index / 60% US Aggregate Bond Index)

**Strategic Growth** strategy seeks capital appreciation from worldwide equity markets. The goal is to create long-term growth through strategic allocations to known market factors and global themes. The strategy holds a basket of global growth stocks that are positioned to benefit from technical innovation and the evolving world economy.

Current non-proprietary portfolio strategy:

**Adaptive Blend** combines multiple non-correlated adaptive investment strategies to create a diversified all asset growth portfolio. The methodologies of each of the underlying components operate individually in an effort to compliment each other. The goal of the strategy is to produce absolute returns over time in a wide range of investment and economic environments.

**Newfound Research – Resilient US Equity**, is designed to provide exposure to the US stock market while providing additional upside participation in strong markets and protection in down markets. The strategy uses three strategic investment sleeves to address various market environments. Each of the sleeves is equally allocated towards trend equity, a strong stock market environment, and a market crash scenario. The underlying options contracts are used to capture outsized gains and to provide protection from large sudden downside market movements.

**Peak Capital Management – Risk Managed U.S. Growth** is designed to provide long-term capital appreciation through an investment primarily in U.S. equities and Treasuries. The Index is quantitatively designed using a risk-budgeting methodology. In general, roughly 95% of total risk is allocated equally across five equity factors - size, value, quality, momentum, and volatility. The remaining 5% of total risk is allocated to long-duration Treasuries. The dollar weights are rebalanced monthly to match the desired risk budget. If correlations rise or overall volatility exceeds certain thresholds, the Index can incorporate a short position to large-cap U.S. equities and cash to help ensure diversification and limit overall volatility. The result is an Index that can potentially provide attractive risk-adjusted returns over multiple market cycles.

**Peak Capital Management – Dynamic Risk Hedged Global Growth** is designed to provide long-term capital appreciation through an investment primarily in U.S. equities and Treasuries. The Index is quantitatively designed using a risk-budgeting methodology. In general, roughly 95% of total risk is allocated equally across five equity factors - size, value, quality, momentum and volatility - and international equity markets. The remaining 5% of total risk is allocated to long duration Treasuries. The dollar weights are rebalanced monthly to match the desired risk budget. If correlations rise or overall volatility exceeds certain thresholds, the Index can incorporate a short position to large-cap U.S. equities and cash to help ensure diversification and limit overall volatility. The result is an Index that can potentially provide attractive risk-adjusted returns over multiple market cycles.

**Rational/ReSolve – Adaptive Asset Allocation Fund** invests in futures contracts and occasionally in exchange-traded funds to gain dynamic exposure to global market opportunities across country equity indexes, fixed income, tradeable real estate, currencies, and commodities. Portfolios are formed using proprietary quantitative innovations to systematically emphasize global assets with strong and persistent trend and momentum characteristics while maximizing diversification and minimizing total portfolio volatility.

As portfolio weights and estimates of volatility and correlations change through time, the Fund will increase and decrease the gross exposure in an effort to maintain its target level of 12% annualized portfolio volatility.

**Lincoln Financial Group – Lincoln Level Advantage Advisory** is a fee-based indexed variable annuity designed to provide growth opportunities via participation in equity index-tracking investments with levels of contracted downside protection. The annuity is designed to bring a balance of protection, growth potential, and tax-advantaged lifetime income in a single diversified strategy. It offers flexible options that can be used to fit a client's risk profile and investing approach.

**Dimensional Funds – Dimensional Wealth Models** offer a suite of diversified investment portfolios that provide predetermined asset allocation solutions for a wide range of client needs. The models reflect Dimensional's latest research on factor investing, portfolio design and efficient trading strategies. The portfolios include various combinations of equities and fixed income. Equity holdings include the US, international and emerging market equities, and global real estate. The fixed income portion of the models includes various durations and credit quality instruments from both the US and around the globe.

Dimensional Funds Core Wealth Model 0-100 (0% Equity / 100% Fixed Income)

Dimensional Funds Core Wealth Model 20-80 (20% Equity / 80% Fixed Income)

Dimensional Funds Core Wealth Model 40-60 (40% Equity / 60% Fixed Income)

Dimensional Funds Core Wealth Model 60-40 (60% Equity / 40% Fixed Income)

Dimensional Funds Core Wealth Model 80-20 (80% Equity / 20% Fixed Income)

Dimensional Funds Core Wealth Model 100-0 (100% Equity / 0% Fixed Income)

Dimensional Funds Tax Sensitive Wealth Model 0-100 (0% Equity/100% Fixed Income)

Dimensional Funds Tax Sensitive Wealth Model 20-80 (20% Equity/80% Fixed Income)



Dimensional Funds Tax Sensitive Wealth Model 40-60 (40% Equity/60% Fixed Income)  
Dimensional Funds Tax Sensitive Wealth Model 60-40 (60% Equity/40% Fixed Income)  
Dimensional Funds Tax Sensitive Wealth Model 80-20 (80% Equity/20% Fixed Income)  
Dimensional Funds Tax Sensitive Wealth Model 100-0 (100% Equity/0% Fixed Income)

**Defined Outcome Portfolios** – These portfolio strategies seek to offer investors exposure to a benchmark index, to a cap, with downside buffer levels of 9%, 15%, or 30%, over an outcome period of approximately one year, at which point each ETF in the strategy will reset. The result is an efficient product suite that provides exposure up to a cap to various stock market indices with downside buffers to protect against losses. The strategy has an indefinite holding period, providing structured returns on a point-to-point basis, resetting annually. Additionally, there is an ability to capture outsized gain during the interim period to potentially increase annual performance beyond the original cap.

**Target 3, 4, 5** - Target Ladder Portfolios use a combination of maturity date ETF, to provide a ladder style of investing with targeted income as the primary goal. The models can adjust credit quality and duration within three different preset parameters in order to provide the investor with a certain amount of income. This strategy is no longer accepting new investors.

Target 3 – Can fluctuate between 0% and 30% high yield bonds to provide the targeted income.

Target 4 – Can fluctuate between 30% and 70% high yield bonds to provide the targeted income.

Target 5 – Can fluctuate between 70% and 100% high yield bonds to provide the targeted income.

### **Client Tailored Services and Client Imposed Restrictions**

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The goals and objectives for each client are documented in the Firm's client files. Investment strategies are created that reflect the client's stated goals and objective. Clients may impose reasonable restrictions on investing in certain securities or types of securities.

Advisory agreements between the Firm and its clients may not be assigned without prior written client consent.

### **Client Assets under Management**

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As of December 31, 2020, AWA provides continuous and regular supervisory or management services to approximately \$286,149,678.77 in client assets under management, of which approximately \$196,835,397.16 is on a discretionary basis and \$89,314,281.61 is on a non-discretionary basis. AWA provides services on a discretionary basis according to a client's election.

## Item 5: Fees and Compensation

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### Method of Compensation and Fee Schedule

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#### **DISCRETIONARY AND NON-DISCRETIONARY PORTFOLIO MANAGEMENT PROGRAM FEE SCHEDULE**

The annual Investment Advisory fee payable to the Firm is up to one percent (1.0%) of assets under management or advisement and up to one percent (1.0%) of assets under management or advisement payable to the Investment Advisor Representative. The total annual advisory fee will not exceed two percent (2.0%) of assets under management or advisement. For purposes of calculating Investment Advisory fees, assets under management or advisement shall include any accounts/holdings held on the Firm's platform, under the advice of the Firm, and or under advice of an Investment Advisor Representative of the Firm. This may include cash or cash equivalents, exchange traded funds, mutual funds, alternative investments, etc. However, the Firm may, in its sole discretion, negotiate a lower advisory fee based upon certain criteria (*e.g.*, market value of portfolio under management, anticipated future earning capacity, anticipated future additional assets, dollar amount of assets to be managed, related accounts, account composition, pre-existing client relationship, account retention, pro bono activities, character of services provided, *etc.*). Other strategies offered by the Firm including 1031 Exchanges-DST Transactions, and other strategies based on their total return potential may have a different fee schedule associated with the strategy.

The annual fee is exclusive of and in addition to brokerage commissions, transaction fees and other related costs and expenses that may be incurred in client accounts and that are payable to third parties. The Firm does not, however, receive any portion of these commissions, fees, or costs. The Firm will not be compensated on the basis of a share of capital gains upon or capital appreciation of the funds or any portion of the funds of the client.

Clients will provide written authorization for the deduction of the Firm's advisory fees directly from their brokerage accounts upon execution of the Investment Advisory Agreement with the Firm. Fees will be directly deducted from the client's account at the custodian quarterly in arrears based on the average daily market value of assets in the account managed by AWA during the previous quarter and will be one-fourth (1/4) of the total advisory fees. The Client will be notified of this fee when they receive their next scheduled account statement. A Client may ask for additional information about their fee calculation at any time. In the event of termination of the account, the client may be invoiced directly for the amount of fees for the days service was provided in the final quarter and payment is expected in a timely manner.

The quarterly fee will be one-fourth (1/4) of the total fee for non-discretionary, limited partnership, alternative investments, based upon the total market value of the investment as reported to AWA by the Sponsor that states the market value of each investment as determined from the annual audited financials in arrears. This value will be effective October 1st of every year and this updated value of the investment (either increase in value or decrease in value) will be used in calculating the applicable fees. For any investment(s) received outside of the annual market value adjustment, the average daily market value of the purchase price will be

considered the market value until the next valuation date occurs. If audited financials are unavailable, an Investment Advisory fee will not be assessed.

The quarterly fee for all other non-discretionary alternative investments will be based upon the total market value of the investment, as reported to AWA by the Sponsor, on the last day of the month and will be one-twelfth (1/12) of the annualized fee calculated in arrears. The fee will be assessed monthly and charged quarterly. The advisory fee will be deducted from the interest earned on the investment as instructed in the Investment Advisory Fee Agreement & Disclosure, unless otherwise agreed between the Firm and the client. During any period of suspended interest payments, no Investment Advisory fee will be assessed.

The quarterly fee for indexed variable annuity investments will be one-fourth (1/4) of the total interim value as of the last day of the quarter, as reported to AWA by the Sponsor, divided by 365; calculated in arrears.

For client assets that are not held in a discretionary account managed by the Firm, the advisory fees will either be deducted from the discretionary account managed by the Firm or paid out of the non-discretionary account at the client's direction, unless otherwise agreed between the Firm and the client.

Accounts opened or closed within a given quarter are charged a pro-rata share at the end of that quarter, based upon the number of days the account was open during the quarter divided by the number of days in the calendar year; calculated in arrears.

The custodian will send to each client a monthly or quarterly account statement that shows the full amount of the Investment Advisory fee. The Firm will verify that the custodian sends account statements to its clients no less frequently than quarterly. Statements should be received from the relevant custodian monthly, but no less frequently than quarterly if your account had no activity. If you do not receive your account statement from the custodian, contact the Firm immediately.

The Firm does not typically aggregate related accounts in the same household to meet account minimums. The firm may, in its discretion, aggregate related accounts in investments in order to meet the account minimum upon sponsor approval.

## **TERMINATION**

If you did not receive this Brochure at least 48 hours prior to entering into a written advisory agreement with the Firm, you have the right to terminate the Investment Advisory Agreement without penalty within five (5) business days after entering into the Agreement. Thereafter, either you or the Firm may terminate the Investment Advisory Agreement at any time and for any reason, upon no less than thirty (30) calendar days' advanced written notice to the other party.

## **Additional Client Fees Charged**

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Clients should be aware that the Investment Advisory fees paid to the Firm for investment advisory services are separate and distinct from the fees and expenses charged by the investment products that the Firm may utilize in the discretionary accounts or recommend for the non-discretionary accounts, including without limitation mutual funds, insurance products, private investment vehicles and other investment alternatives (the additional fees and expenses to which the client will be subject for these investment products are described in the relevant products' offering or sales documents). These additional fees may include management fees, incentive compensation and other internal expenses. Further, there may be transaction charges involved with purchase or sale of securities. The Firm does not share in any portion of the brokerage fees/transaction charges imposed by the custodian holding client funds or securities. You should review all fees and expenses incurred in connection with holding the various investment products the Firm utilizes or recommends and the Firm's advisory fees and any other fees and expenses to fully understand the total amount of fees and expenses to be paid by you. Lower fees for comparable services may be available from other sources.

## **Prepayment of Client Fees**

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The Firm charges the Investment Advisory fee quarterly in arrears.

## **External Compensation for the Sale of Securities to Clients**

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Investment Advisor Representatives ("IARs") of the Firm are also licensed insurance agents for Accelerated Wealth, LLC, an affiliated insurance company. If you elect to implement the plan or buy insurance products through the Firm's IARs, they may receive a commission from insurance sales, which includes life, accident and disability insurance, long-term care, and fixed annuities. These commissions are in addition to the regular Investment Advisory fees charged. We do not offset Investment Advisory fees for clients who are also insurance clients of our affiliated company. This presents a conflict of interest and financial incentive to the extent that an IAR recommends the purchase of an insurance product to you, which results in a commission being paid to the IAR as an insurance agent as well as the regular Investment Advisory fee. This conflict is mitigated by the fact that the Firm, as well as the IARs, have a fiduciary responsibility to place the best interest of the client first and will act in accordance with that responsibility.

You are under no obligation to purchase insurance products through our affiliated company. Clients have the option to purchase investment products that are recommended by our IARs through other brokers or agents not affiliated with the Firm. It is our fiduciary duty as an Investment Advisor to provide advice and investment recommendations that are in the best interest for our client and to put our clients' interests ahead of our own.

## **Item 6: Performance-Based Fees and Side-by-Side Management**

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### **Sharing of Capital Gains**

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The Firm does not receive any form of incentive compensation or participate in the capital gains or capital appreciation in client accounts. However, the managers of one or more of the third-party investment vehicles that the Firm may recommend to its non-discretionary accounts may be compensated in this manner. You should make sure you understand the terms of any such compensation before accepting the Firm's recommendation.

## Item 7: Types of Clients

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### Description

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AWA generally provides investment advice to individuals, pension and profit sharing plans, charitable organizations, corporations or business entities, and high net worth individuals.

Client relationships vary in scope and length of service.

### Account Minimums

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Products offered do require an account minimum due to the trading costs and fees. Accounts opened below the minimum are subject to approval and will be considered on a case-by-case basis. For all model portfolios, please refer to the following for the account minimums:

Model	Minimum
Adaptive Blend	\$75,000
AWP Adaptive 15	\$25,000
AWP Efficient	\$10,000
AWP Foundation	\$25,000
Breakaway 7	\$50,000
Defined Outcome US 15	\$2,500
Defined Outcome US 30	\$2,500
Defined Outcome US 9	\$2,500
Defined Outcome US Buffer Blend	\$2,500
DFA Core Wealth Model 0-100 (DISTRIBUTION)	\$200,000
DFA Core Wealth Model 0-100 (HOLD)	\$50,000
DFA Core Wealth Model 100-0 (DISTRIBUTION)	\$200,000
DFA Core Wealth Model 100-0 (HOLD)	\$50,000
DFA Core Wealth Model 20-80 (DISTRIBUTION)	\$200,000
DFA Core Wealth Model 20-80 (HOLD)	\$50,000
DFA Core Wealth Model 40-60 (DISTRIBUTION)	\$200,000
DFA Core Wealth Model 40-60 (HOLD)	\$50,000
DFA Core Wealth Model 60-40 (DISTRIBUTION)	\$200,000
DFA Core Wealth Model 60-40 (HOLD)	\$50,000
DFA Core Wealth Model 80-10 (DISTRIBUTION)	\$200,000
DFA Core Wealth Model 80-10 (HOLD)	\$50,000
DFA Tax Sensitive Wealth Model 0-100	\$50,000
DFA Tax Sensitive Wealth Model 100-0	\$50,000
DFA Tax Sensitive Wealth Model 20-80	\$50,000
DFA Tax Sensitive Wealth Model 40-60	\$50,000
DFA Tax Sensitive Wealth Model 60-40	\$50,000
DFA Tax Sensitive Wealth Model 80-20	\$50,000

Dynamic Risk Hedged Global Growth	\$25,000
Lincoln Level Advantage	\$25,000
Newfound Resilient US Equity	\$25,000
PAA USA 100	\$2,500
PAA USA 40	\$2,500
PAA USA 60	\$2,500
PAA USA 80	\$2,500
PAA World 100	\$2,500
PAA World 40	\$2,500
PAA World 60	\$2,500
PAA World 80	\$2,500
Peak DRH Global Growth	\$25,000
Peak Risk Managed US Growth	\$25,000
Resolve Adaptive Asset Allocation	\$1,000
Strategic Growth	\$25,000
Target 3	\$25,000
Target 4	\$25,000
Target 5	\$25,000

## **Item 8: Methods of Analysis, Investment Strategies and Risk of Loss**

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### **Methods of Analysis**

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AWA emphasizes diversification as well as risk when evaluating investment manager strategies for inclusion in a client investment portfolio. Investment managers are evaluated upon relative performance such as peer group and market comparisons. AWA compiles specific client information from bank custodian and brokerage statements and utilizes this information as a component of client analysis in the preparation of charts and graphs to assist in the account review process with clients. Investing directly in securities or investment managers that invest in securities involves risk of loss that clients should be prepared to bear.

AWA relies on internally and externally generated research when making investment recommendations. Internal research may be driven by AWA's Management Team investment Evaluation process or by the client servicing team working in conjunction with the client. Not all of AWA's recommendations related to client investments are driven by the internal review process as AWA believes its clients should be able to tailor their investment portfolios to meet their needs.

AWA's principal sources of information include publicly available information as well as subscription databases regarding money managers; public filings of issuers and money managers with governmental authorities; annual reports; industry data; interactions with money managers via the telephone, web or face-to-face meetings. In addition, trade publications, charts and other statistical material are furnished by outside vendors. AWA may utilize third party sources such as financial newspapers and magazines, inspections of corporate activities, research materials prepared by others, corporate rating services, annual reports, prospectuses, filings with the Securities and Exchange Commission, and company press releases.

Other sources of information that AWA may use include Morningstar Principia mutual fund information, Morningstar Principia stock information, eVestment Alliance, Investor Force, PerTrac, Zephyr, Charles Schwab & Company's "SchwabLink" service, Advisor Intelligence, and the World Wide Web.

### **Investment Strategy**

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The investment strategy for a specific client is based upon the objectives stated by the client during consultations with the client. The client may change these objectives at any time. AWA assists the client in developing an Investment Policy Statement for each client that documents their objectives and their desired investment strategy.

AWA's focuses on strategic asset allocation and the selection of active investment managers. Portfolios are diversified to control the risk associated with traditional markets. AWA utilizes both actively managed strategies and index-based investments in the implementation of client portfolio strategies. AWA uses and recommends both traditional and alternative investments. In certain cases, the characteristics of these investments could be classified under multiple asset classes. In such cases, the client, in consultation with AWA, will determine the most appropriate classification for performance reporting purposes. In addition, AWA employs a



variety of vehicles to gain access to the desired investment manager or strategy (e.g., separate accounts, institutional no-load mutual funds, commingled trusts, limited partnerships, closed-end fund, other pooled investment vehicles, etc).

Underlying investment manager strategies may utilize long-term purchases, short-term purchases, trading, short sales, margin transactions, and option writing (including covered options, uncovered options or spreading strategies).

### **Security Specific Material Risks**

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- **General Risks:** Investments with us are not a deposit with a bank and are not insured or guaranteed by the Federal Deposit Insurance Corporation or any other government agency. Accordingly, you may lose money by investing with us. When investments are sold, they may be worth less than initial amount paid because the value of investments will fluctuate reflecting day-to-day changes in market conditions, interest rates and a number of other factors.
- **Allocation Risk:** Allocation of investments among different asset classes, such as equity or fixed-income assets classes, may have a more significant effect on returns when one of these classes is performing more poorly than others.
- **Market Risk:** Stock and bond markets often trade in random price patterns, and prices can fall over sustained periods of time. The value of the investments will fluctuate as the financial markets fluctuate. This could result in your account value(s) declining over short or long-term periods of time.
- **Focused and Concentrated Portfolio Risks:** Investing your assets in a smaller number of securities than other broadly diversified investment strategies. This approach is often referred to as “focused, concentrated, or non-diversified”. Accordingly, the money managed may experience more volatility and is often considered to have more risk than a strategy that invests in a greater number of securities because changes in the value of a single security may have a more significant effect, either negative or positive, on your overall portfolio value. To the extent, we invest assets in fewer securities, or invest in non-diversified funds that take a focused or concentrated approach, these assets are subject to greater risk of loss if any of those securities become permanently impaired. You may place a restriction on this type of portfolio construction at any time during your relationship with us.
- **Equity Risk:** Investments will be subjected to the risk that stock prices may fall over short or extended periods of time. Historically, the equity markets have moved in cycles, and the value of equity securities in any portfolio may fluctuate drastically from day to day. Individual companies may report poor results or be negatively affected by industry and/or economic trends and developments. The prices of securities issued by such companies may suffer a decline in response. These factors will contribute to the volatility and risk of your assets.
- **Special Situation Risk:** Investing your assets in special situations. Investments that may involve greater risks when compared to other strategies due to a variety of factors. Expected changes may not occur, or transactions may take longer than originally anticipated, resulting in lower returns than contemplated at the time of investment. Additionally, failure to anticipate changes in the circumstances affecting these types of

investments may result in permanent loss of capital, where you may be unable to recoup some or all of its investment.

- **Foreign Securities Risk:** A percentage of your assets may be composed of foreign investments. Foreign investments involve greater risk in comparison to domestic investments because foreign companies/securities: may have different auditing, accounting, and financial reporting standards; may not be subject to the same degree of regulation as U.S. companies and may have less publicly available information than U.S. companies; and are often denominated in a currency other than the U.S. dollar. As with any type of security you may place limits on the percentage of foreign assets you wish to hold or may restrict this asset class altogether, however you must be aware that under investing in these assets may add additional risks to your portfolio.
- **Currency Risk:** Investments may be subject to currency risk. Currency fluctuations and changes in the exchange rates between foreign currencies and the U.S. dollar could negatively affect the value of your investments in foreign securities.
- **Interest Rate Risk:** Investments are subject to interest rate risk. Interest rate risk is the risk that the value of a security will decline because of a change in general interest rates. Investments subject to interest rate risk will usually decrease in value when interest rates rise. For example, fixed-income securities with long maturities typically experience a more pronounced change in value when interest rates change, specifically when rates rise losses are greater.
- **Credit Risk:** Your investments are subject to credit risk. An investments credit quality depends on its ability to pay interest on and repay its debt and other obligations.
- **Small- to Medium-Capitalization Risk:** Investing assets in small to medium sized companies. Shares of small to medium sized companies may have more volatile share prices. Furthermore, the securities of small to medium companies often have less market liquidity and their share prices can react with more volatility to changes in the general marketplace.
- **Junk Bond/High-Yield Security Risk:** Investing assets in Junk Bonds or High-Yield, lower rated securities. Investments in fixed-income securities that are rated below Investment grade can be subject to greater risk of loss of principal and interest than investments in higher-rated fixed-income securities. The market for high yield securities may be less liquid than the market for higher-rated securities. High yield securities are also generally considered to be subject to greater market risk than higher-rated securities. The capacity of issuers of high yield securities to pay interest and repay principal is more likely to weaken than is that of issuers of higher-rated securities in times of deteriorating economic conditions or rising interest rates.
- **Prepayment Risk:** Investments may be subject to prepayment risk. Prepayment risk occurs when the issuer of a security can repay principal prior to the security's maturity. Securities subject to prepayment can offer less potential for gains during a declining interest rate environment and similar or greater potential for loss in a rising interest rate environment. In addition, the potential impact of prepayment features on the price of a security can be difficult to predict and result in greater volatility.
- **Inflation Risk:** This is the risk that the value of assets or income will be worth less in the future because inflation decreases the value of your money. As inflation increases, the

value (purchasing power) of your assets can decline. This risk increases as we invest a greater portion of your assets in fixed-income securities with longer maturities.

- **Liquidity Risk:** Liquidity risk exists when particular investments have light trading volume and can be difficult to trade, possibly preventing us from selling out of these illiquid securities at an advantageous price.
- **Use of Independent Managers:** We may recommend the use of independent investment managers. In these situations, we continue to do ongoing due diligence of such managers, but such recommendations rely to a great extent on the investment managers' ability to successfully implement their investment strategies. In addition, we may not have the ability to supervise these independent investment managers on a day-to-day basis.
- **Use of Private Investment Funds:** We may recommend that certain clients invest in privately placed collective investment vehicles (*e.g.*, hedge funds, private equity funds, *etc.*). The investment managers of these vehicles have broad discretion in selecting the investments. There are few limitations on the types of securities or other financial instruments, which may be traded, and no requirement to diversify. Hedge funds may trade on margin or otherwise leverage positions, thereby potentially increasing the risk to the vehicle. In addition, because the vehicles are not registered as investment companies, there is an absence of regulation. There are numerous other risks in investing in these securities. Clients should consult each fund's private placement memorandum and/or other documents explaining such risks prior to investing.
- **External Strategy Implementation Risk:** Accelerated Wealth Advisors, LLC has entered into agreements with third party money management firms to run their strategies for our clients. Our results may differ from what is reported by those external managers due to the timing of our trade execution and potential differences between the version of the strategy we have licensed versus what the manager runs internally. As a result, performance may differ from the performance of the strategies as reported by those external managers.
- **Indexed Annuity Risk:** Fixed annuities are long-term investment vehicles. Early withdrawal may result in tax liability, penalties and/or surrender charges. These charges may result in a loss of bonus, indexed interest and fixed interest, and a partial loss of your principal. Bonus Annuities may include annuitization requirements, lower capped returns, or other restrictions that are not included in similar annuities that don't offer a premium bonus feature. Riders are available at an additional cost and are subject to conditions, restrictions and limitations and benefits are generally not available as lump sum payout. Guarantees, if any, are backed by the financial strength and claims-paying ability of the issuing insurance company. Please review the disclosures of the specific insurance company illustration provided for any insurance product being proposed or recommended.

## **Alternative Investments Risk and Disclosure**

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PLEASE READ THE FOLLOWING STATEMENT CAREFULLY

**YOU SHOULD BE AWARE OF AND CAREFULLY CONSIDER THE FOLLOWING POINTS BEFORE DETERMINING WHETHER ALTERNATIVE INVESTMENTS ARE APPROPRIATE**

**FOR YOU. ALTERNATIVE INVESTMENTS INCLUDE, BUT ARE NOT LIMITED TO, INVESTMENTS IN HEDGE FUNDS, FUND OF HEDGE FUNDS, CTAS, PRIVATE EQUITY FUNDS, REAL ESTATE FUNDS, PRIVATE PLACEMENTS AND MANAGED ACCOUNT PLATFORMS. (“ALTERNATIVE INVESTMENTS”). ALTERNATIVE INVESTMENTS MAY BE UTILIZED BY INVESTMENT MANAGERS TO PROVIDE ENHANCED INVESTMENT RETURNS AND PORTFOLIO DIVERSIFICATION IN A BALANCED PORTFOLIO. THEY GENERALLY SHOULD NOT COMPRISE MORE THAN 20% OF THE TOTAL HOLDINGS WITHIN AN ACCOUNT.**

ALTERNATIVE INVESTMENTS ARE VERY SPECULATIVE AND ARE HIGHLY RISKY. Investing in Alternative Investments is highly speculative and is suitable only for those who (a) understand and are willing to assume the economic, legal and other risks involved, and (b) are financially able to assume significant losses. Alternative Investments may not be an appropriate investment for retirement funds. You have previously represented, warranted and agreed that you understand these risks; that you are willing and able, financially and otherwise, to assume the risks of Alternative Investments and that loss of your entire account balance will not change your lifestyle. Before deciding to invest in Alternative Investments you should carefully consider your investment objectives, level of experience, and risk appetite. The possibility exists that you could sustain a loss of some or all of your initial investment and therefore you should not invest money that you cannot afford to lose. You should be aware of all the risks associated with Alternative Investments and seek advice from your advisor if you have any doubts.

MANY ALTERNATIVE INVESTMENTS ARE NOT REGULATED. Many Alternative Investments are unregistered private investment partnerships, funds or pools that may invest and trade in many different market strategies, and instruments (including securities, non-securities and derivatives) and that employ different investment, hedging, leverage and arbitrage methodologies. Many Alternative Investments are not subject to the same regulatory requirements as mutual funds, including mutual fund requirements to provide certain periodic and standardized pricing and valuation information to investors. Many Alternative Investment documents are not reviewed or approved by federal or state regulators. Many Alternative Investments are not required to provide periodic pricing or valuation information to investors, and it may be their practice to not provide such information.

ALTERNATIVE INVESTMENTS MAY EMPLOY SPECULATIVE AND RISKY INVESTMENT STRATEGIES. Alternative Investments may employ a distinctive strategy which may not have a readily ascertainable comparative benchmark or index. Alternative Investments may be leveraged (including highly leveraged) and a hedge fund performance may be volatile. Alternative Investments may use benchmarks or targets for measurement purposes. There is no guarantee that Alternative Investment goals, objectives, benchmarks, or targeted returns will be achieved or reached. Strategies intended to hedge risk may be partly or wholly unsuccessful. Some Alternative Investments may use a single advisor or employ a single strategy, which could mean a lack of diversification and higher risk. Some Alternative Investments execute a portion, and in some cases a substantial portion, of trades on foreign exchanges or over the counter markets. Such trades could involve a higher degree of risk.

ALTERNATIVE INVESTMENTS MAY HAVE LIMITED LIQUIDITY AND CARRY HIGH MANAGEMENT FEES. An Alternative Investment may have limited liquidity or may be

illiquid and there may be significant restrictions on transferring interests. There may be no or extremely limited secondary markets for an investor's investment in an Alternative Investments. An Alternative Investment's fees and expenses, which may be substantial regardless of any positive return, will offset the investment's trading profits. In the case of a fund of funds, fees and expenses are charged at both the fund and sub-fund levels. As a result, the fees charged will be higher than they would if an investor invested directly into the sub-fund. Alternative Investments may involve a complex tax structure (which should be reviewed carefully) and delays in distributing important tax information.

**ALTERNATIVE INVESTMENTS MAY HAVE LITTLE OR NO OPERATING OR PERFORMANCE HISTORY.** Alternative Investments may have little or no operating history or performance and may use hypothetical or pro forma performance which may not reflect actual trading done by the manager or advisor and such history or performance should be reviewed carefully. Investors should not place undue reliance on pro forma or hypothetical performance. Alternative Investments and their managers/advisors may rely on the trading expertise and experience of third-party managers or advisors; the identity of which may not be disclosed to investors.

**PAST PERFORMANCE NOT INDICATIVE OF FUTURE RESULTS.** The past performance of any investment, including Alternative Investments, cannot guarantee the performance or effectiveness of such investment in the future. Users of the Website must exercise independent judgment when making investment decisions and expressly assume all of the risk of any losses. **PAST PERFORMANCE CANNOT GUARANTEE OR INDICATE FUTURE RESULTS.**

**NO GUARANTEES OF PROFIT.** There are no guarantees of profit or freedom from loss in an Alternative Investment. You have received no such guarantees from Company or from any of its agents, employees or affiliates. You are aware of the risks inherent in Alternative Investment and are financially able to bear such risks and withstand any losses incurred.

**THE ABOVE GENERAL SUMMARY IS NOT A COMPLETE LIST OF THE RISKS AND OTHER IMPORTANT DISCLOSURES INVOLVED IN INVESTING IN ALTERNATIVE INVESTMENTS AND, WITH RESPECT TO ANY PARTICULAR ALTERNATIVE INVESTMENT, IS SUBJECT TO THE MORE COMPLETE AND SPECIFIC DISCLOSURES CONTAINED IN SUCH ALTERNATIVE INVESTMENT'S RESPECTIVE OFFERING DOCUMENTS. BEFORE MAKING ANY INVESTMENT, AN INVESTOR SHOULD THOROUGHLY REVIEW AN ALTERNATIVE INVESTMENT'S OFFERING DOCUMENTS WITH THE INVESTOR'S FINANCIAL, LEGAL AND TAX ADVISOR TO DETERMINE WHETHER AN INVESTMENT IN THE ALTERNATIVE INVESTMENT IS SUITABLE FOR THE INVESTOR IN LIGHT OF THE INVESTOR'S INVESTMENT OBJECTIVES, FINANCIAL CIRCUMSTANCES AND TAX SITUATION.**

## **Item 9: Disciplinary Information**

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### **Criminal or Civil Actions**

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Neither the Firm nor its management have been involved in any criminal or civil action.

### **Administrative Enforcement Proceedings**

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Bill Walton and Chris Abeyta, founders of Accelerated Wealth (“AW”) and control persons of ASI Capital LLC offered investments to their clients created by ASI Capital LLC between 2012-2014. At the time, Walton and Abeyta, working with ASI Capital’s attorneys believed that the notes were properly being offered and met all legal and securities requirements. At the conclusion of a regulatory inquiry by Colorado Department of Securities, they alleged that the method used to offer these promissory notes was done incorrectly. On April 4, 2017, Bill Walton and Chris Abeyta, settled the inquiry by entering into a Stipulation for Consent Order and Consent Order with the Colorado Division of Securities (the “Division”) to avoid the cost and uncertainty of litigation and in the best interest of the clients. This settlement does not involve any admission of wrongdoing by the parties, however, does include certain monetary and non-monetary provisions.

It is important to note that this settlement agreement is not related to and has had no bearing on the performance of the promissory notes issued from 2012-2014. Additionally, this agreement has not affected the ability of the fund to meet its current or future obligations. Since 2015 all securities have been offered under Accelerated Wealth Advisors (“AWA”), a Registered Investment Advisor with the SEC and state of Colorado.

Mr. Walton and AW agreed to pay \$50,000 to the Securities Commissioner. Mr. Walton and his wholly owned affiliate, Walton Financial, LLC, also agreed to pay \$150,000 to the Securities Commissioner.

Mr. Abeyta and AW agreed to pay \$50,000 to the Securities Commissioner. Mr. Abeyta and his wholly owned affiliate, High Trust Financial, LLC, also agreed to pay \$150,000 to the Securities Commissioner.

This Consent Order concludes the inquiry by the Staff of the Colorado Division of Securities into this matter and is not intended to subject any of the parties to any disqualification under the laws of the United States, including, without limitation, any disqualification from relying upon the state or federal registration exemptions or safe harbor provisions.

This Order also does not disqualify any of the parties from any business that they are permitted to perform under the Colorado securities laws.

### **Self-Regulatory Organization Enforcement Proceedings**

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Neither the Firm nor its management have been involved in legal or disciplinary events related to past or present investment clients.



## **Item 10: Other Financial Industry Activities and Affiliations**

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### **Broker-Dealer or Representative Registration**

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Neither the Firm nor none of its employees are registered or affiliated with a broker-dealer.

### **Futures or Commodity Registration**

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Neither the Firm nor its employees are registered or have an application pending to register as a futures commission merchant, commodity pool operator or commodity-trading advisor.

### **Material Relationships Maintained by this Advisory Business and Conflicts of Interest**

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IARs of the Firm are also owners and/or licensed insurance agents for Accelerated Wealth, LLC, an affiliated insurance company. If you elect to implement the plan or buy insurance through the Firm's IARs, they will receive a commission from insurance sales, which includes life, accident and disability insurance and fixed annuities. This presents a conflict of interest and financial incentive to the extent that the IAR recommends the purchase of an insurance product to you, which results in a commission being paid to the IAR as an insurance agent. This conflict is mitigated by the fact that the Firm, as well as the IARs, have a fiduciary responsibility to place the best interest of the client first and will act in accordance with that responsibility. You are under no obligation to purchase insurance products through our affiliated company. Clients have the option to purchase investment products that are recommended by our IARs through other brokers or agents not affiliated with the Firm. It is our fiduciary duty as an investment advisor to provide advice and investment recommendations that are in the best interest for our client and to put our clients' interests ahead of our own.

Bill Walton, the CEO of the Firm, and Chris Abeyta, an IAR of the Firm, have an indirect financial interest in ASI Healthcare Capital Partners GP, LLC. ASI Capital, LLC is affiliated with a manager of several pooled investment vehicles, the interests of which are privately offered pursuant to Regulation D of the Securities Act of 1933, as amended. ASI Healthcare Capital Partners GP, LLC is the general partner of the ASI Healthcare Capital Partners I, LP. A conflict of interest exists to the extent that the Firm's IARs may recommend an investment in one or more private investment funds managed by an affiliate of ASI Capital, LLC and or the fund in which ASI Healthcare Capital Partners GP, LLC is the general partner of due to Mr. Walton's and Mr. Abeyta's affiliation therewith. This conflict is mitigated by the fact that Mr. Walton and Mr. Abeyta, as well as the Firm, have a fiduciary responsibility to place the best interest of the client first and will act in accordance with that responsibility. In any matter requiring Mr. Walton's or Mr. Abeyta's vote, and in which any AWA client holds an investment, outside counsel or CCO of AWA will render an opinion as to whether there is a possible conflict of interest and in the event of a conflict, whether actual or perceived, Mr. Walton and Mr. Abeyta will abstain from voting and submit the subject matter and notice of their abstention to the CCO of Accelerated Wealth Advisors, LLC.

IARs of the Firm have and may continue to have direct or indirect ownership interest in investments that they recommend to their clients. In addition, IARs of the Firm have and may continue to have direct or indirect ownership in underlying assets or portfolio companies of investments that they recommend to their clients. This conflict is mitigated by the fact that the Firm, as well as the IARs, have a fiduciary responsibility to place the best interest of the client

first and will act in accordance with that responsibility. Some of the investments that IARs of the Firm own, can result in the requirement of voting on certain measures. Whether actual or perceived, to mitigate the possible conflict of interest, said IAR will assign proxy voting rights to CCO of AWA.

The Firm will seek to ensure that any such recommendations are provided on a fully disclosed basis and only when aligned with the client's best interest.

### **Selection of Other Advisors of Managers and How This Advisor is Compensated for Those Selections**

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The Firm does not recommend or select other advisors for its clients.



## **Item 11: Code of Ethics, Participation or Interest in Client Transactions and Personal Trading**

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### **Code of Ethics Description**

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We have adopted a Code of Ethics to manage and address conflicts of interest from personal trading by our IARs and other employees and have established standards of conduct expected of our advisory personnel. We have set forth in the Code of Ethics a statement of general principles, required course of conduct, reporting obligations and review and enforcement of the Code of Ethics. We will provide a copy of the Code of Ethics Policy to our clients or prospective clients upon written request.

### **Investment Recommendations Involving a Material Financial Interest and Conflict of Interest**

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Associated persons of the Firm may invest and/or have a financial interest in products, programs and private alternative investments that the Firm recommends to clients. This creates a conflict of interest as a client investment in certain investments could result in financial benefits to one or more of the Firm's associated persons. The Firm addresses these potential conflicts of interest by not utilizing these products, programs and private alternative investments in discretionary account, by making full disclosure of such relationships to the relevant client(s) prior to making any recommendation and by adhering to written investment policies and strategies in recommending investments.

For more information, refer to Item 14 of this Brochure.

### **Participation or Interest in Client Transactions / Personal Trading**

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AWA has adopted a Code of Ethics for all employees of the firm describing its high standard of business conduct, and fiduciary duty to its clients. The Code of Ethics includes provisions relating to the confidentiality of client information, a prohibition on insider trading, a prohibition of rumor mongering, restrictions on the acceptance of significant gifts and the reporting of certain gifts and business entertainment items, and personal securities trading procedures, among other things. All employees at AWA must acknowledge the terms of the Code of Ethics annually, or as amended.

AWA anticipates that, in appropriate circumstances, consistent with clients' investment objectives, it will cause accounts over which AWA has management authority to effect and will recommend to investment advisory clients or prospective clients, the purchase or sale of securities in which AWA, its affiliates and/or clients, directly or indirectly, have a position of interest. AWA's employees and persons associated with AWA are required to follow AWA's Code of Ethics which serves to limit conflicts of interests in these cases through transaction monitoring. Subject to satisfying this policy and applicable laws, officers, directors and employees of AWA and its affiliates may have invested and may continue to invest, for their own accounts in securities or money managers which are recommended to and/or purchased for AWA, clients. The Code of Ethics is designed to assure that the personal securities transactions, activities, and interests of the employees of AWA will not interfere with (i) making decisions in the best interest of advisory clients and (ii) implementing such decisions while, at the same time, allowing employees to invest for their own accounts. Under the Code certain

classes of securities have been designated as exempt transactions, based upon a determination that these would materially not interfere with the best interest of AWA's clients. In addition, the Code requires pre-clearance of many transactions, and restricts trading in close proximity to client trading activity. Nonetheless, because the Code of Ethics in some circumstances would permit employees to invest in the same securities as clients, there is a possibility that employees might benefit from market activity by a client in a security held by an employee. Employee trading is continually monitored under the Code of Ethics, and to reasonably prevent conflicts of interest between AWA and its clients.

Certain affiliated accounts may trade in the same securities with client accounts on an aggregated basis when consistent with AWA's obligation of best execution. In such circumstances, the affiliated and client accounts will share commission costs equally and receive securities at a total average price. AWA will retain records of the trade order (specifying each participating account) and its allocation, which will be completed prior to the entry of the aggregated order. Completed orders will be allocated as specified in the initial trade order. Partially filled orders will be allocated on a pro rata basis. Any exceptions will be explained on the Order.

## Item 12: Brokerage Practices

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### **Factors Used to Select Broker-Dealers for Client Transactions**

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For our discretionary Portfolio Management services, the Firm is granted sole discretionary authority over your account(s) to determine the securities to be bought or sold, their amounts, and the broker to be used, without specific consultation with you as deemed to be in your best interest and to achieve your stated investment objectives.

The Firm does not maintain custody of your assets. Your assets must be maintained in an account at a “qualified custodian,” generally a broker-dealer or bank. We require that our clients use Charles Schwab & Co., Inc. (Schwab), a FINRA-registered broker-dealer, member SIPC, as the qualified custodian for their managed accounts. We are independently owned and operated and not affiliated with Schwab. Schwab will hold your assets in a brokerage account and buy and sell securities when we instruct them to. While we require that you use Schwab as custodian/broker, you will decide whether to do so and open your account with Schwab by entering into an account agreement directly with them. We do not open the account for you. [If you do not wish to place your assets with Schwab, then we cannot manage your account.] Even though your account is maintained at Schwab, we can still use other brokers to execute trades for your account.

Schwab Advisor Services (formerly called Schwab Institutional) is Schwab’s business serving independent investment advisory firms like us. They provide us and our clients with access to its institutional brokerage – trading, custody, reporting and related services – many of which are not typically available to Schwab retail customers. Schwab also makes available various support services. Some of those services help us manage or administer our clients’ accounts while others help us manage and grow our business. Here is a more detailed description of Schwab’s support services:

Services that Benefit You. Schwab’s institutional brokerage services include access to a broad range of investment products, execution of securities transactions, and custody of client assets. The investment products available through Schwab include some to which we might not otherwise have access or that would require a significantly higher minimum initial investment by our clients. Schwab’s services described in this paragraph generally benefit you and your account.

Services that May Not Directly Benefit You. Schwab also makes available to us other products and services that benefit us but may not directly benefit you or your account. These products and services assist us in managing and administering our clients’ accounts. They include investment research, both Schwab’s own and that of third parties. We may use this research to service all or some substantial number of our clients’ accounts, including accounts not maintained at Schwab. In addition to investment research, Schwab also makes available software and other technology that:

- provide access to client account data (such as duplicate trade confirmations and account statements);

- facilitate trade execution and allocate aggregated trade orders for multiple client accounts;
- provide pricing and other market data;
- facilitate payment of our fees from our clients' accounts; and
- assist with back-office functions, recordkeeping and client reporting.

Services that Generally Benefit Only Us. Schwab also offers other services intended to help us manage and further develop our business enterprise. These services include:

- educational conferences and events
- technology, compliance, legal, and business consulting;
- publications and conferences on practice management and business succession; and
- access to employee benefits providers, human capital consultants and insurance providers.

Schwab may provide some of these services itself. In other cases, it will arrange for third-party vendors to provide the services to us. Schwab may also discount or waive its fees for some of these services or pay all or a part of a third party's fees. Schwab may also provide us with other benefits such as occasional business entertainment of our personnel.

Factors considered by us in selecting brokers are: (i) execution capabilities, (ii) commission rates, (iii) responsiveness and financial responsibility and (iv) other services that will help us or our sub-advisors to provide investment supervisory services to our clients.

We understand and acknowledge that at all times we have a duty to you to seek best execution for your securities transactions.

### **Brokerage for Client Referrals**

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Neither the Firm nor our IARs receive client referrals from a broker-dealer or other third party when recommending to you a broker-dealer for the execution of securities transactions.

### **Directed Brokerage**

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We do not permit clients to direct brokerage away from our listed broker/dealer(s). Some advisory firms do not require the use of a particular broker and may allow clients to direct brokerage.

### **Research and other Soft Dollar Benefits**

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Trades may be done with brokers that are selected on the basis of research products or services provided to the Firm. These may be allocated proportionately to the benefit of all clients and are not necessarily used exclusively by the account for which the transaction was made. These types of products and services under SEC Rules are also known as "soft dollars" and may include software and technology that provide access to client account data; trade confirmations and account statements; facilitate trade execution and asset allocation of multiple client accounts; provide research, valuations, and general market data; assist in the payment of our fee from the client account; and assist with other back-office functions. Brokers may also

provide publications, consulting, information technology, practice management conferences and marketing and regulatory compliance. You are not directly charged for these services and the information received will be used to benefit all clients of the Firm. The Firm does not currently have any soft dollar arrangements.

### **Aggregating Securities Transactions for Client Accounts**

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The Firm provides investment management services to various clients. The Firm may, in its sole discretion, aggregate purchases or sales of any security, instrument or obligation effected for multiple client accounts. Although such trade aggregations potentially could be either advantageous or disadvantageous to any one or more particular accounts, they will be affected only when we believe that to do so will be in the best interest of the affected accounts. When transactions are aggregated, (a) the actual prices applicable to the aggregated transaction will be averaged, and each client account participating in the aggregated transaction will be deemed to have purchased or sold its share of the security, instrument or obligation involved at that average price and (b) all transaction costs incurred in effecting the aggregated transaction, except to the extent that certain broker-dealers that also furnish custody services may impose minimum transaction charges applicable to some of the participating accounts. When such concurrent aggregation occurs, the objective will be to allocate executions in a manner that is deemed equitable to the accounts involved.

## **Item 13: Review of Accounts**

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### **Periodic Reviews**

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Client reviews are tailored to the desired frequency of the particular client and occur on either a monthly, quarterly, or annual basis by an AWA Investment Advisor Representative, and designated AWA consultants as well as other designees. Account reviews are performed more frequently when market conditions or other factors dictate.

AWA depends on its clients or the investment managers | custodians of its clients to provide the information necessary to properly evaluate the client's account. Once AWA understands the client's specific needs and objectives, AWA develops a strategy to meet those goals. Advice is given on a "best efforts basis" and is communicated both verbally and in written format. Generally, client reviews entail a comparison of performance to market and peer group benchmarks as well as established goals and adherence to risk tolerance guidelines. Other factors subject to review may include investment manager allocation, securities overlap among investment managers, or investment style adherence.

### **Review Triggers**

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Factors which may trigger a special review include, but are not limited to investment committee meeting dates, market conditions, internal events such as a merger or sale, or other changes in investment objectives.

Other conditions that may trigger a review are changes in the tax laws, new investment information, and changes in a client's situation.

### **Regular Reports**

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Each client's custodian sends detailed monthly or quarterly reports directly to clients. These reports detail all transactions since the last report, indicate dividends and interest credited and show all positions held on the date of the report.

AWA has available its own quarterly client reports. These reports show investments held at the date of the report. Client reports are custom designed to meet individual client needs and preferences. Special reports are produced on an as-requested basis under terms provided for in the relevant client contract.

Additionally, from time to time, AWA may also provide clients with reports such as market commentaries and economic outlooks.

## **Item 14: Client Referrals and Other Compensation**

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### **Economic Benefits Provided to the Firm from External Sources and Conflicts of Interest**

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The Firm may provide recommendations, investment advice and due diligence about certain alternative investments for those clients who represent they are accredited investors and who otherwise meet certain investor standards. (To qualify as an accredited investor, an individual must have a net worth, not including your primary residence in excess of \$1 million; or have an income exceeding \$200,000 in each of the two most recent years or joint income with a spouse exceeding \$300,000 for those years and a reasonable expectation of the same income level in the current year.) The Firm will review the information relating to such investment - such as marketing materials, audit reports, balance sheets, offering memorandum, subscription agreement, historical records and access opportunities and risks for investment now and for the years ahead. The Firm may also request and review due diligence questionnaires, interview the investment manager and/or make a site visit. In making particular investment recommendation, the Firm will consider the client's time horizon and the investment's investment performance over an extended period of time. Due diligence will continue throughout the duration of the investment. Firm personnel will meet with each client that invests in an alternative investment vehicle at least on an annual basis for the duration of the investment.

Additionally, product sponsors and other companies may also reimburse up to 100% of the cost of due diligence, training and education/joint marketing meetings for the Firms' advisors, as permitted by industry rules. It is important to know that although the product sponsors contribute these funds to AWA and may have greater access to AWA's advisors, the reimbursement or additional compensation does not result in a higher advisory fee charged to the Firm's clients. The payment of this additional compensation to AWA by these product sponsors may pose a financial incentive to promote certain products over other products, although we do not believe that these arrangements compromise the service the advisor provides to the client.

### **Advisory Firm Payments for Client Referrals**

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We from time to time may enter into arrangements with individuals to introduce prospective clients to us. The individuals (called Solicitors or Referring Partners) are paid a fee that is based on the advisory fee that you pay and are properly registered as solicitors and follow the requirements and rules set forth by the respective state jurisdictions. If you are introduced to us through a Solicitor or a Referring Partner, we will provide you with a separate written disclosure statement indicating that a referral fee is being paid to an individual who is unaffiliated with the Firm. It should be noted that the payment of this referral fee does not increase the fee paid over the Firm's maximum fee as outlined elsewhere in this brochure.

## Item 15: Custody

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### Account Statements

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Under applicable regulations, we are deemed to have constructive custody of your assets since you may authorize us to instruct your custodian to deduct our advisory fees directly from your account (details are also available in Item 5-Fees and Compensation) and that the Firm utilizes standing letters of authority ("SLOA"). We obtain written authorization from client's that fees are to be deducted. We do not maintain actual physical custody of your accounts nor are we authorized to hold or receive any stock, bond or other security or investment certificate or cash that is part of your account. Your funds and securities under the Firm's discretionary management will be physically maintained at all times with a "qualified custodian" as required under Rule 206(4)-2 under the Investment Adviser Act.

Account statements are sent directly to clients from their respective custodian. Clients should carefully review those statements.



## Item 16: Investment Discretion

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### **Discretionary Authority for Trading**

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Each client will execute an Investment Advisory Agreement in which you will grant us sole and absolute discretion in the management of the portion of your portfolio participating in the Firm's discretionary asset management program as outlined therein except with respect to payment of the Firm's portfolio management fees. In the exercise of this authority, we are fully authorized and empowered to place orders to brokers, dealers, mutual funds, or other persons with respect to the purchase, sale, exchange, or liquidation of any assets held in your portfolio. For the non-discretionary accounts, such as ASI products, the Firm will secure client permission prior to effecting securities transactions for the client in the client's broker-dealer account(s).

When selecting securities and determining amounts, we observe the investment policies, limitations and restrictions of the clients for which we advise. Investment guidelines and restrictions must be provided to us in writing.

## **Item 17: Voting Client Securities**

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### **Proxy Votes**

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Absent specific instructions, we will vote proxies for securities held in client accounts. Clients retain the responsibility for providing direction on corporate actions for any and all securities maintained in client portfolios. You can contact our office at 719-466-5631 for any questions about this or any other matter.

## Item 18: Financial Information

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### **Balance Sheet**

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A balance sheet is not required to be provided because we do not serve as a custodian for client funds or securities, and we do not require prepayment of fees of more than \$500 per client and six months or more in advance.

### **Financial Conditions Reasonably Likely to Impair Advisory Firm's Ability to Meet Commitments to Clients**

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We have no condition that is reasonably likely to impair our ability to meet contractual commitments to our clients.

### **Bankruptcy Petitions during the Past Ten Years**

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We have no bankruptcy petitions to disclose.

## Part 2B Brochure Supplement

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### Item 1: Cover Page

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This brochure supplement provides information about Supervised Persons of Accelerated Wealth Advisors, LLC. If you have any questions about the contents of this supplemental brochure, please contact us at 719-466-5631.

Our website is [www.acceleratedwealth.com](http://www.acceleratedwealth.com).

Accelerated Wealth Advisors, LLC is a Registered Investment Advisor with the Securities and Exchange Commission. Registration of an Investment Advisor does not imply any level of skill or training. Additional information about Supervised Persons is available on the SEC's website at <https://adviserinfo.sec.gov/>.

### Supervised Persons:

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- Bill Walton: 13570 Meadowgrass Dr #100 Colorado Springs CO 80921 (719) 466-5627
- Bill Walton: PMB 304 425 Carr 693 #100 Dorado PR 00907 (787) 915-3798
- Brittany Rogers: 13570 Meadowgrass Dr #100 Colorado Springs CO 80921 (719) 466-5627
- Chris Abeyta: 13570 Meadowgrass Dr #100 Colorado Springs CO 80921 (719) 466-5627
- Dustin West: 13570 Meadowgrass Dr #100 Colorado Springs CO 80921 (719) 466-5627
- Gregg Indovina: 13570 Meadowgrass Dr #100 Colorado Springs CO 80921 (719) 466-5627
- Gregg Indovina: 10700 E Geddes Ave #150 Englewood CO 80112 (720) 833-7676
- J Morgan Rogers: 13570 Meadowgrass Drive #100 Colorado Springs CO 80921 (719) 466-5627
- Mack Bekeza: 13570 Meadowgrass Dr #100 Colorado Springs CO 80921 (719) 466-5627
- Marcia Miller: 2290 Valleydale Rd #202 Birmingham AL 35244 (205) 769-6448
- Melissa Starr: 13570 Meadowgrass Dr #100 Colorado Springs CO 80921 (719) 466-5627
- Nathan Yeomans: 10700 E Geddes Ave #150 Englewood CO 80112 (720) 833-7676
- Ray Hart: 13570 Meadowgrass Dr #100 Colorado Springs CO 80921 (719) 466-5627
- Susan Auer: 13570 Meadowgrass Dr #100 Colorado Springs CO 80921 (719) 466-5627

### Item 2: Educational Background & Business Experience

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**Bill Walton**, CEO, Investment Advisor Representative – Colorado Springs, CO & Dorado, PR

- Year of Birth: 1971
- BD, Rhema College
- 06/2021 – Present: President, WE Holding, LLC

- 05/2021 – Present: President, CreatingYourBest.Com, LLC
- 07/2019 – Present: Shareholder, Petra Financial Advisors, Inc.
- 04/2019 – Present: Member, Lighthouse Financial Enterprise, LLC
- 11/2018 – Present: CEO, Accelerated Consulting and Management, LLC
- 06/2018 – Present: Owner, AW Family Office, LLC
- 06/2018 – Present: Management Member, MAJ Properties, LLC
- 02/2016 – Present: General Partner, ASI Healthcare Capital Partner G.P., LLC
- 10/2014 – Present: CEO & IAR, Accelerated Wealth Advisors, LLC
- 10/2013 – Present: Managing Member, Accelerated Business Strategies, LLC
- 05/2013 – Present: Member, Centennial Advisor Group
- 11/2012 – Present: Managing Member, AW Holdings, LLC
- 08/2008 – Present: Managing Member, Arche Media, LLC
- 11/2007 – Present: Principal & Insurance Agent, Accelerated Wealth, LLC
- 11/2007 – 12/2019: President, Walton Financial, Inc.
- 01/2018 – 10/2018: Employee, IDM
- 04/2013 – 10/2018: Managing Member, AW Franchising, LLC
- 04/2012 – 12/2018: Member, ASI Capital, LLC
- 06/2011 – 11/2015: President, AW Services, Inc.
- 10/2012 – 02/2014: Advisory Agent, Gradient Advisors, LLC

**Brittany Rogers**, Investment Advisor Representative, RMA – Colorado Springs, CO

- Year of Birth: 1985
- BA: Interpersonal and Organizational Communications, University of Northern Colorado
- 06/2018 – Present: Managing Member, AdviseWise Financial, LLC
- 02/2018 – Present: Sr. Wealth Advisor, Accelerated Wealth Advisors, LLC
- 04/2018 – Present: Insurance Agent, Accelerated Wealth, LLC
- 12/2016 – Present: Employee, BNW Contracting
- 12/2016 – 04/2018: Account Service Manager, Accelerated Wealth, LLC
- 01/2016 – 10/2016: Neuromuscular Therapist, Allay Massage
- 09/2012 – 10/2016: Office Manager, Radix Chiropractic
- 01/2010 – 09/2012: Store Manager, Starbucks

**Chris Abeyta**, Investment Advisor Representative – Colorado Springs, CO

- Year of Birth: 1971
- Bachelor of Business Administration, University of New Mexico

- MBA, University of Texas-Tyler
- 02/2019 – Present – General Partner, ASI Healthcare Capital Partners G.P., LLC
- 10/2014 – Present: IAR, Accelerated Wealth Advisors, LLC
- 05/2009 – Present: Principal & Insurance Agent, Accelerated Wealth, LLC
- 11/2012 – Present: Member, AW Holdings, LLC
- 05/2011 – Present: Managing Member, Multiplied Resources, LLC
- 04/2009 – Present: President, Hight Trust Financial & Consulting, Inc.
- 04/2012 – 12/2018: Member, ASI Capital, LLC

**Dustin West**, Investment Advisor Representative – Colorado Springs, CO

- Year of Birth: 1977
- BS: Professional Psychology, Geneva College
- 01/2015 – Present: IAR, Accelerated Wealth Advisors, LLC
- 01/2014 – Present: President, Younify Financial, LLC
- 09/2012 – Present: Insurance Agent, Accelerated Wealth, LLC
- 03/2011 – 07/2013: Territory Manager, Abbot Labs

**Gregg Indovina**, CIO, Investment Advisor Representative – Colorado Springs, CO & Englewood, CO

- Year of Birth: 1964
- BS: Marketing, University of Maryland
- 04/2019 – Present: Insurance Agent, Accelerated Wealth, LLC
- 04/2017 – Present: Chief Investment Officer, Accelerated Wealth Advisors, LLC
- 01/2015 – Present: IAR, Accelerated Wealth Advisors, LLC
- 11/2009 – 11/2017: Instructor, Online Trading Academy
- 07/2007 – 12/2014: IAR & Registered Representative, Cambridge Investment Research, Inc.

**J Morgan Rogers**, CAIA, Investment Advisor Representative – Colorado Springs, CO

- Year of Birth: 1989
- BS: Business Administration and Management, University of Florida
- 02/2020 – Present: Trade Desk Manager, Accelerated Wealth Advisors, LLC
- 05/2016 – 02/2020: Soldier, U.S. Army
- 05/2014 – 10/2015: Compliance Advisor, Raymond James & Associates
- 10/2013 – 04/2014: Private Client Associate, Sanford C. Bernstein & CO., LLC
- 08/2012 – 09/2013: Financial Advisor, Edward Jones

- 03/2012 – 08/2012: Server, Olive Garden
- 01/2012 – 03/2012: Sales Representative, PLS Logistics
- 08/2009 – 01/2012: Server, Olive Garden
- 06/2008 – 12/2011: Fulltime Student, University of Florida

**Mack Bekeza, CFP®, Investment Advisor Representative - Colorado Springs, CO**

- Year of Birth: 1994
- BS: Finance, Western Kentucky University
- 06/2021 – Present: Insurance Agent, Accelerated Wealth, LLC
- 04/2021 – Present: Wealth Advisor, Accelerated Wealth Advisors, LLC
- 01/2020 – 03-2021: IAR, Millennial Wealth Management, LLC
- 05/2019 – 01/2020: Unemployed
- 02/2017 – 05/2019: Support Advisor, Cascade Financial Management, Inc.
- 12/2016 – 02/2017: Unemployed
- 06/2016 – 12/2016: Intern, Castle Rock Investment Company
- 08/2015 – 05/2016: Payroll Assistant, Houchens Food Group
- 05/2015 – 07/2015: Finance Intern, Pepino Studio, LLC
- 05/2014 – 04/2015: Team Member, Firehouse Subs
- 01/2014 – 05/2014: Unemployed
- 05/2013 – 01/2014: Team Member, Sbarro
- 06/2006 – 05/2016: Unemployed

**Marcia Miller, CEP, RFC, Investment Advisor Representative – Birmingham, AL**

- Year of Birth: 1965
- College for Financial Planning
- 12/2016 – Present: IAR, Accelerated Wealth Advisors, LLC
- 11/2016 – Present: Insurance Agent, Accelerated Wealth, LLC
- 11/2016 – 12/2016: Solicitor, Accelerated Wealth Advisors, LLC
- 04/2013 – 12/2016: President & IAR, Wealth Investment Solutions, LLC
- 06/2008 – 12/2016: Fixed Insurance Product Sales, Wealth Planning Services, Inc.
- 07/2011 – 05/2015: IAR, AlphaStar Capital Management, LLC
- 01/2011 – 06/2011: IAR, Regal Investment Advisors, LLC

**Melissa Starr, CCO, COO, Investment Advisor Representative – Colorado Springs, CO**

- Year of Birth: 1986
- BS: Business Management, Colorado State University – Global Campus

- 10/2019 – Present: Chief Operations Officer, Accelerated Wealth Advisors, LLC
- 10/2019 – Present: Chief Operations Officer, Accelerated Wealth, LLC
- 09/2018 – Present: CEO, Essential Consulting & Management, LLC
- 07/2018 – Present: Chief Compliance Officer, Accelerated Wealth Advisors, LLC
- 07/2018- Present: Business Manager, AW Holdings, LLC
- 06/2018 – Present: Business Manager, MAJ Properties, LLC
- 1/2015 – Present: Employee, BNW Contracting
- 10/2014 – Present: Insurance Agent, Accelerated Wealth, LLC
- 04/2019 – 12/2020: Chief Compliance & Operations Officer, Lighthouse Financial, LLC
- 05/2018 – 07/2018: Director of Compliance, Accelerated Wealth Advisors, LLC
- 09/2016 – 05/2018: Corporate Compliance Operations Manager, Accelerated Wealth Advisors, LLC
- 01/2015 – 09/2016: Client Account Services Manager, Accelerated Wealth, LLC
- 04/2014 – 12/2014: Executive Assistant, Independent Contractor
- 12/2013 – 03/2014: Unemployed
- 09/2009 – 10/2010: Paralegal, Ana Basora-Walker Attorney

**Nathan Yeomans**, Investment Advisor Representative – Englewood, CO

- Year of Birth: 1978
- BS: Business, Eastern Illinois University
- 04/2015 – Present: IAR, Accelerated Wealth Advisors, LLC
- 04/2015 – Present: Insurance Agent, Accelerated Wealth, LLC
- 07/2014 – Present: Co-Owner, Accelerated Insurance Group
- 05/2013 – Present: Principal, Centennial Advisor Group
- 02/2011 – Present: Principal, PTL Holdings, LLC
- 12/2004 – Present: Principal, Yeomans Photography
- 07/2013 – 04/2015: IAR, Gradient Advisors
- 01/2012 – 06/2013: IAR, TransAmerica Financial Advisors, Inc.
- 08/2011 – 06/2013: Associate, World Financial Group
- 04/2011 – 01/2012: IAR, Investment Advisors International
- 01/2009 – 05/2013: President, Equity Steams Financial Group

**Ray Hart**, CFP®, RICP®, AAMS®, Investment Advisor Representative – Colorado Springs, CO

- Year of Birth: 1965
- MBA: Finance, Washington State University



- 07/2021 – Present: Wealth Advisor, Accelerated Wealth Advisors, LLC
- 07/2021 – Present: Insurance Agent, Accelerated Wealth, LLC
- 09/2020 – Present: Personal Financial Consultant, ZEIDERS Enterprises
- 01/2018 – 07/2020: IAR/Registered Rep, USAA Investment Services Company
- 05/2014 – 07/2020: Financial Advisor Sr., USAA Financial Planning Services
- 05/201 – 06/2020: Registered Rep, USAA Financial Advisors Inc.
- 06/2012 – 07/2014: Chief of Protection, US Army 4<sup>th</sup> Infantry Division
- 05/2011 – 05/2012: Chief of War Plans, US Army Training Mission

**Susan Auer, CFP®**, Investment Advisor Representative – Colorado Springs, CO

- Year of Birth: 1981
- BA: Anthropology, University of Colorado Colorado Springs
- 12/2020 – Present: Wealth Advisor, Accelerated Wealth Advisors, LLC
- 12/2020 – Present: Insurance Agent, Accelerated Wealth, LLC
- 11/2020 – 11/2020: Financial Consultant, T. Rowe Price Investment Services, Inc.
- 01/2018 – 10/2020: Financial Advisor, USAA Investment Management Company
- 04/2014 – 10/2020: Specialize Investment Services Representative, USAA Financial Planning Services
- 02/2013 – 04/2014: Register Representative, USAA Federal Savings Bank
- 07/2004 – 01/2013: Inside Sales, Harlott Inc.

#### **EXPLANATION OF PROFESSIONAL DESIGNATIONS:**

**IAR:** Investment Advisor Representative. This is a registration that requires successful completion of studies and passing an examination related to aspects of providing investment advice to clients. IARs are fiduciaries which means the advisor must, at all times, act in the best interest of its clients.

**RMA:** Retirement Management Advisor. This advanced designation requires successful completion of studies and passing of an examination in the area of retirement planning. Specifically, that means retirement income planning and advising clients on how to accumulate and make use of retirement assets.

**CEP:** Certified Estate Planner. Candidates for this course must hold a valid current license in either the financial, legal, or tax profession, and be in good standing with all relevant licensing bodies and regulatory or compliance related governing bodies. The issuing organization is the National Institute of Certified Estate Planners (NICEP). This advanced designation requires successful completion of studies and passing of an examination in the areas of estate planning essentials, such as setting up living trusts, estate tax implications and disability planning.

**RFC:** Registered Financial Consultant. Candidates must have a minimum of four years' experience as a full-time practitioner or educator in the field of financial planning or financial services. The issuing organization is the International Association of Registered Financial

Consultants (IARFC). The RFC is a professional designation awarded by the IARFC to financial consultants who meet the high standards of education, experience, and ethics.

**CFP®:** Certified Financial Planner. This designation requires successful completion of studies and passing examinations in the areas of financial planning, taxes, insurance, estate planning, and retirement. In addition, years of experience and ethical requirements are required as part of attaining the certification from the Certified Financial Planner Board of Standards, Inc. CFPs have a fiduciary duty, meaning they must make decisions with their client's best interest in mind.

**CAIA:** Chartered Alternative Investment Analyst (CAIA) is a professional designation granted by the Chartered Alternative Investment Analyst Association to candidates who have completed Level I and Level II examinations. The Chartered Alternative Investment Analyst Association has established the designation of CAIA to certify that the holders have met the association's educational standard for specialists in the area of alternative investments.

**RICP®:** Retirement Income Certified Professional Designation®. This designation is awarded by the American College of Financial Services to individuals with a minimum of three years of professional experience and the successful completion of studies and passing an examination in areas such as Social Security, risks in retirement financial planning, Medicare and other health insurance options, long-term care needs, as well as tax and estate planning. In addition, RICPs must adhere to a code of ethics and reporting requirements.

**AAMS®:** Accredited Asset Management Specialist®. This certification is granted by the College for Financial Planning to allow individuals to advise clients on college savings, taxes, and retirement savings, the courses and tests for this certification are designed to ensure advisors can assist clients with their complete financial needs.

### **Item 3: Disciplinary Information**

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Bill Walton ("Walton") and Chris Abeyta ("Abeyta"), co-founders of Accelerated Wealth, LLC ("AW"), who at the time were control persons of ASI Capital, LLC ("ASI"), offered investments to their clients created by ASI Capital, LLC between 2012-2014. At the time, Walton and Abeyta, working with ASI's attorneys believed that the notes were properly being offered and met all legal and securities requirements. At the conclusion of a regulatory inquiry by Colorado Department of Securities, they alleged that the method used to offer these promissory notes was done incorrectly. On April 4, 2017, Walton and Abeyta, settled the inquiry by entering into a Stipulation for Consent Order and Consent Order with the Colorado Division of Securities (the "Division") to avoid the cost and uncertainty of litigation and in the best interest of the clients. This settlement does not involve any admission of wrongdoing by the parties, however, does include certain monetary and non-monetary provisions.

It is important to note that this settlement agreement is not related to and has had no bearing on the performance of the promissory notes issued from 2012-2014. Additionally, this agreement has not affected the ability of the fund to meet its current or future obligations. Since 2015 all securities have been offered under Accelerated Wealth Advisors, LLC ("AWA"), a licensed RIA firm with the SEC and State of Colorado.

Walton, Abeyta, and AW agreed to pay \$50,000 to the Securities Commissioner. Walton and his wholly owned affiliate, Walton Financial, LLC, also agreed to pay \$150,000 to the Securities Commissioner. Abeyta and his wholly owned affiliate, High Trust Financial & Consulting, Inc., also agreed to pay \$150,000 to the Securities Commissioner.

This Consent Order concludes the inquiry by the Staff of the Colorado Division of Securities into this matter and is not intended to subject any of the parties to any disqualification under the laws of the United States, including, without limitation, any disqualification from relying upon the state or federal registration exemptions or safe harbor provisions.

This Order also does not disqualify any of the parties from any business that they are permitted to perform under the Colorado securities laws.

A full report that reflects the professional background, business practices, and conduct of our advisory agents is available through the Financial Industry Regulatory Authority's (FINRA) BrokerCheck system link at [www.finra.org/brokercheck](http://www.finra.org/brokercheck) or you may request disclosable information under BrokerCheck by calling (800) 289-9999, a toll-free hotline operated by FINRA.

#### **Item 4: Other Business Activities**

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**Bill Walton** – Bill Walton is the owner and insurance agent of Accelerated Wealth, LLC. He holds an insurance license. This license allows him to sell insurance products such as life, accident and disability insurance, long-term care, and fixed annuities. In this capacity, he may sell insurance products and receive normal and customary commissions as a result of such purchases and sales. He spends approximately 15% of his time in insurance sales. Mr. Walton is the owner of a commercial real estate holding company and a residential holding company. In addition, Mr. Walton owns a business management and consulting company and may receive income from those services provided.

Mr. Walton serves on the advisory board and has an indirect financial interest in ASI Healthcare Capital Partners GP, LLC. ASI Healthcare Capital Partners GP, LLC is the General Partner of the ASI Healthcare Capital Partners I, LP. A conflict of interest exists to the extent that the Firm's IARs may recommend an investment in one or more private investment funds managed by ASI Capital, LLC and or the fund in which ASI Healthcare Capital Partners GP, LLC is the General Partner of due to Mr. Walton's affiliation therewith.

**Brittany Rogers** – Brittany Rogers is an insurance agent of Accelerated Wealth, LLC. She holds an insurance license. This license allows her to sell insurance products such as life, accident and disability insurance, long-term care, and fixed annuities. In this capacity, she may sell insurance products and receive normal and customary commissions as a result of such purchases and sales. She spends approximately 20% of her time in insurance sales.

**Chris Abeyta** – Chris Abeyta is the owner and insurance agent of Accelerated Wealth, LLC. He holds an insurance license. This license allows him to sell insurance products such as life, accident and disability insurance, long-term care, and fixed annuities. In this capacity, he may sell insurance products and receive normal and customary commissions as a result of such purchases and sales. He spends approximately 40 hours per week of his time on his activities with this entity. Mr. Abeyta is the President of High Trust Financial and Consulting, Inc., an insurance and retirement strategy company. Multiplied Resources is a holding company LLC for real estate, mortgages, notes, bad debt purchased and collections (very small amount and no new activity on delinquent debt collections – no intentions on adding more at any time).

Mr. Abeyta serves on the advisory board and has an indirect financial interest in ASI Healthcare Capital Partners GP, LLC. ASI Healthcare Capital Partners GP, LLC is the General Partner of the ASI Healthcare Capital Partners I, LP. A conflict of interest exists to the extent that the Firm's IARs may recommend an investment in one or more private investment funds managed by ASI

Capital, LLC and or the fund in which ASI Healthcare Capital Partners GP, LLC is the General Partner of due to Mr. Abeyta's affiliation therewith.

**Dustin West** – Dustin West is an insurance agent of Accelerated Wealth, LLC. He holds an insurance license. This license allows him to sell insurance products such as life, accident and disability insurance, long-term care, and fixed annuities. In this capacity, he may sell insurance products and receive normal and customary commissions as a result of such purchases and sales. He spends approximately 50% of his time in insurance sales.

**Gregg Indovina** – Gregg Indovina is insurance agent of Accelerated Wealth, LLC. He holds an insurance license. This license allows him to sell insurance products such as life, accident and disability insurance, long-term care, and fixed annuities. In this capacity, he may sell insurance products and receive normal and customary commissions as a result of such purchases and sales. He spends approximately 15% of his time in insurance sales.

**Mack Bekeza** – Mack Bekeza is an insurance agent of Accelerated Wealth, LLC. He holds an insurance license. This license allows him to sell insurance products such as life, accident and disability insurance, long-term care, and fixed annuities. In this capacity, he may sell insurance products and receive normal and customary commissions as a result of such purchases and sales. He spends approximately 20% of his time in insurance sales.

**Marcia Miller** – Marcia Miller is insurance agent of Accelerated Wealth, LLC. She holds an insurance license. This license allows her to sell insurance products such as life, accident and disability insurance, long-term care, and fixed annuities. In this capacity, she may sell insurance products and receive normal and customary commissions as a result of such purchases and sales. She spends approximately 50% of her time in insurance sales.

**Melissa Starr** – Melissa Starr is the Chief Operations Officer of Accelerated Wealth, LLC. She spends approximately 25% of her time on activities with this entity. Mrs. Starr is also the owner of Essential Consulting & Management, LLC which is a business management and consulting company and may receive income from those services provided.

**Nathan Yeomans** – Nathan Yeomans is an insurance agent of Accelerated Wealth, LLC. He holds an insurance license. This license allows him to sell insurance products such as life, accident and disability insurance, long-term care, and fixed annuities. In this capacity, he may sell insurance products and receive normal and customary commissions as a result of such purchases and sales. He spends approximately 15% of his time in insurance sales. Mr. Yeomans is a mortgage loan originator with Centennial Advisor Group and the Principal of PTL Holdings, LLC which is a real estate holding company. Additionally, M. Yeomans is a member of the Denver Business Journal Leadership Trust as a thought leader and published author.

**Ray Hart** – Ray Hart is an insurance agent of Accelerated Wealth, LLC. He holds an insurance license. This license allows him to sell insurance products such as life, accident and disability insurance, long-term care, and fixed annuities. In this capacity, he may sell insurance products and receive normal and customary commissions as a result of such purchases and sales. He spends approximately 20% of his time in insurance sales. Ray is also a Personal Financial Counselor with ZEIDERS Enterprises on an as available, as needed basis to provide financial counseling to military personnel.

**Susan Auer** – Susan Auer is an insurance agent of Accelerated Wealth, LLC. She holds an insurance license. This license allows her to sell insurance products such as life, accident and disability insurance, long-term care, and fixed annuities. In this capacity, she may sell insurance

products and receive normal and customary commissions as a result of such purchases and sales. She spends approximately 20% of her time in insurance sales.

#### **Item 5: Additional Compensation**

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In this item, we must disclose if someone who is not a client provides an economic benefit to our supervised persons for providing advisory services. For purposes of this Item, economic benefits include sales awards and other prizes.

None of our supervised persons receive any economic benefits for providing advisory services from someone who is not a client of Accelerated Wealth Advisors LLC that has not already been disclosed in this Brochure.

#### **Item 6: Supervision**

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Our Firm has established written policies and procedures that it will utilize to supervise. In addition, A Code of Ethics has been adopted, which we have agreed to follow and comply with. All new accounts undergo careful analysis and review as to appropriateness of assets held and asset allocation and compared to the investment objectives stated by you. After an account has been approved for a specific investment program, the Chief Compliance Officer or designated delegate will monitor the trading activities in the account to ensure that the securities purchased or sold are consistent with your investment objectives.

The Chief Compliance Officer or designated delegate will review the activity in each account at least quarterly to determine if the account has been managed in a manner consistent with your investment objectives and shall discuss any questionable activities in any account with you. The Chief Compliance Officer or designated delegate will also look for any evidence of excessive trading or conflicts of interest between the portfolio manager and you.

The confidence and trust placed in our Firm and its employees is something we value and endeavor to protect.

Melissa Starr, Chief Compliance Officer of Accelerated Wealth Advisors LLC, can be reached at 719-466-5631 should you have any additional questions or concerns.