

*This brochure supplement provides information about Sean Thomas Puckett that supplements the NextGen Private Wealth brochure. You should have received a copy of that brochure. Please contact Sean Thomas Puckett if you did not receive NextGen Private Wealth's brochure or if you have any questions about the contents of this supplement.*

*Additional information about Sean Thomas Puckett is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

# **NextGen Private Wealth**

## **Form ADV Part 2B – Individual Disclosure Brochure**

*for*

**Sean Thomas Puckett**

Personal CRD Number: 6921249

Investment Adviser Representative

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UPDATED: 07/27/2021

## Item 2: Educational Background and Business Experience

**Name:** Sean Thomas Puckett **Born:** 1990

### **Educational Background and Professional Designations:**

#### **Education:**

BA in Business Administration Finance and Economics, University of Montana - 2014

#### **Designations:**

##### **CFA - Chartered Financial Analyst** (attained in 2017)

The Chartered Financial Analyst (CFA) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute - the largest global association of investment professionals.

There are currently more than 90,000 CFA charterholders working in 134 countries. To earn the CFA charter, candidates must: 1) pass three sequential, six-hour examinations; 2) have at least four years of qualified professional investment experience; 3) join CFA Institute as members; and 4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

##### **High Ethical Standards**

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

##### **Global Recognition**

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA charterholders-often making the charter a prerequisite for employment.

Additionally, regulatory bodies in 22 countries and territories recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 125 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

##### **Comprehensive and Current Knowledge**

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment

profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

To learn more about the CFA charter, visit [www.cfainstitute.org](http://www.cfainstitute.org).

### **CAIA – Chartered Alternative Investment Analyst (attained in 2019)**

Requirements: (1) successfully completing the CAIA program (passing both the Level I and Level II exams) and (2) becoming a member of the CAIA Association. To qualify for membership in the Association, you must fulfill all the following requirements:

- Pass the Level II exam within three years of passing the Level I exam.
- Hold a U.S. bachelor's degree or the equivalent, and have more than one year of professional experience, or alternatively have at least four years of professional experience.\*

*\*Professional experience is defined as full-time employment in a professional capacity within the regulatory, banking, financial, or related fields*

- Submit payment for the annual CAIA Association membership fee.
- Agree on an annual basis to abide by the Member Agreement.
- Membership is the final requirement for individuals who wish to use the CAIA designation.

### **Business Background:**

06/2019 - Present	Investment Adviser Representative NextGen Private Wealth
04/2019 - Present	Chief Compliance Officer NextGen Private Wealth
07/2019 – Present	Managing Member NextGen Financial Group
03/2018 – 06/2021	Investment Adviser Representative Silverhawk Asset Management
03/2017 – 06/2021	Chief Investment Officer Silverhawk Asset Management
04/2019 – 01/2020	Managing Member NextGen Private Wealth

06/2014 - 03/2017	Associate National Bank Regulator Office of the Comptroller of the Currency
09/2012 - 06/2014	Teller/Credit Analyst Treasure State Bank
03/2011 - 09/2012	Teller/New Accounts Rep Mountain West Bank
05/2010 - 03/2011	Field Sales Leader Vector Field Services

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

There are no legal or disciplinary events that are material to a client's or prospective client's evaluation of this advisory business.

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

Sean Thomas Puckett is an investment adviser representative with another firm; Silverhawk Asset Management. Mr. Puckett intends to remain with Silverhawk Asset Management while transitioning clients to NextGen Private Wealth and the firm does not consider this a conflict of interest.

Sean Thomas Puckett is a licensed insurance agent. From time to time, he will offer clients advice or products from those activities. Clients should be aware that these services pay a commission or other compensation and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment adviser. NextGen Private Wealth always acts in the best interest of the client; including the sale of commissionable products to advisory clients. Clients always have the right to decide whether or not to utilize the services of any NextGen Private Wealth representative in such individual's outside capacities.

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

Sean Thomas Puckett does not receive any economic benefit from any person, company, or organization, other than NextGen Private Wealth in exchange for providing clients advisory services through NextGen Private Wealth.

## **Item 6: Supervision**

As the Chief Compliance Officer of NextGen Private Wealth, Sean Thomas Puckett supervises all activities of the firm. Sean Thomas Puckett's phone number is (602) 370-9130. Sean Thomas Puckett adheres to applicable regulatory requirements, together with all policies and procedures outlined in the firm's code of ethics and compliance manual.