

*This brochure supplement provides information about Robert Alan Lockery Jr that supplements the GFS Wealth Management Advisors Inc. dba Ganim Financial brochure. You should have received a copy of that brochure. Please contact Robert Alan Lockery Jr if you did not receive GFS Wealth Management Advisors Inc. dba Ganim Financial's brochure or if you have any questions about the contents of this supplement.*

*Additional information about Robert Alan Lockery Jr is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).*

# **GFS Wealth Management Advisors Inc. dba Ganim Financial**

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

*for*

**Robert Alan Lockery Jr**

Personal CRD Number: 2687139

Investment Adviser Representative

GFS Wealth Management Advisors Inc. dba Ganim Financial

2 Enterprise Drive, Suite 305

Shelton, CT 06484

(203) 335-0851

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UPDATED: 04/27/2021

## Item 2: Educational Background and Business Experience

**Name:** Robert Alan Lockery Jr

**Born:** 1970

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

#### **Education:**

BA Science Corporate Communications, Southern CT State University - 1995

#### **Business Background:**

08/2017 - Present	Investment Adviser Representative GFS Wealth Management Advisors Inc. dba Ganim Financial
08/2016 - Present	Retirement Plan Director Ganim Financial
09/2016 – 02/2018	Registered Representative Kestra Investment Services LLC
08/2015 - 07/2016	Sales Rep MMI Investor Services
11/2012 - 07/2015	Sales Rep Park Ave Securities
09/2011 - 10/2012	Sales Rep AXA Advisors
10/2010 - 08/2011	Sales Rep Morgan Stanley
12/2002 - 10/2010	Sales rep Princore Financial 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**

Robert Alan Lockery Jr is not engaged in any investment-related business or occupation (other than this advisory firm).

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

Robert Alan Lockery Jr does not receive any economic benefit from any person, company, or organization, other than GFS Wealth Management Advisors Inc. dba Ganim Financial in exchange for providing clients advisory services through GFS Wealth Management Advisors Inc. dba Ganim Financial.

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

As a representative of GFS Wealth Management Advisors Inc. dba Ganim Financial, Robert Alan Lockery Jr is supervised by Garrett Taylor, the firm's Chief Compliance Officer. Garrett Taylor is responsible for ensuring that Robert Alan Lockery Jr adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Garrett Taylor is (203) 335-0851.

## Item 7: Requirements For State Registered Advisers

*This disclosure is required by state securities authorities and is provided for your use in evaluating this investment advisor representative's suitability.*

A. Robert Alan Lockery Jr has NOT been involved in any of the events listed below.

1. An award or otherwise being found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
  - a) an investment or an investment-related business or activity;
  - b) fraud, false statement(s), or omissions;
  - c) theft, embezzlement, or other wrongful taking of property;
  - d) bribery, forgery, counterfeiting, or extortion; or
  - e) dishonest, unfair, or unethical practices.
2. An award or otherwise being found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
  - a) an investment or an investment-related business or activity;
  - b) fraud, false statement(s), or omissions;
  - c) theft, embezzlement, or other wrongful taking of property;
  - d) bribery, forgery, counterfeiting, or extortion; or
  - e) dishonest, unfair, or unethical practices.

B. Robert Alan Lockery Jr has NOT been the subject of a bankruptcy.