



## **Dodds Wealth, LLC**

**Andrew Torrence Dodds, CFP®**

**5251 DTC Parkway, Suite 720  
Greenwood Village, Co 80111  
(303) 539-3900**

**May 15, 2023**

### **Part 2B Brochure**

This brochure supplement provides information about Dodds Wealth, LLC (“Dodds Wealth”) that supplements our brochure. You should have received a copy of that brochure. Please contact us at (303) 539-3900 if you did not receive Dodds Wealth, LLC brochure or if you have any questions about the contents of this supplement. Additional information about Andrew Dodds is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD# 2143266.

## ITEM 2 – EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE

**Andrew T. Dodds, CFP®**

**Year of Birth:** 1961

### **Educational Background:**

- 1984: Stanford University; Bachelor of Arts Degree, Economics
- Insurance License: Life, Health & Long-Term Disability

### **Business Background:**

- *Dodds Wealth, LLC*; Founder & Wealth Advisor, 2022 – Present
- *Dodds Wealth Management Group, LLC*; Owner & Managing Member, 2003 – Present
- *LPL Financial*; Registered Representative & Investment Advisor Representative, 2003 – Present
- *American Express Financial Advisors*; Financial Advisor, 1991 – 2003
- *Cushman Wakefield*; Commercial Real Estate Broker, 1984 – 1990

### **Professional Designations:**

- <sup>1</sup>CFP®, Certified Financial Planner, 1995

#### **<sup>1</sup>Minimum Qualifications for The CERTIFIED FINANCIAL PLANNER™ (CFP®) Designation.**

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”). The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements: a) complete an advanced college-level course of study addressing the financial planning subject areas including insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning; b) pass the comprehensive CFP® Certification Examination (1 day; 6 hour exam); c) complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); d) agree to be bound by CFP Board’s Standards of Professional Conduct; e) complete 30 hours of continuing education hours every two years; and f) renew an agreement to be bound by the Standards of Professional Conduct.

Certified Financial Planners are licensed by the CFP Board to use the CFP mark. CFP certification requirements:

- Bachelor’s degree from an accredited college or university.
- Completion of the financial planning education requirements set by the CFP Board ([www.cfp.net](http://www.cfp.net))
- Successful completion of the 6-hour CFP® Certification Exam
- Three-year qualifying full-time work experience
- Successfully pass the Candidate Fitness Standards and background check

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

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

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

Andrew Dodds acknowledges his responsibility as a CFP® to adhere to the standards that have been established in the CFP Board's Standards of Professional Conduct. If you become aware that Andrew Dodds conduct may violate the Standards of Professional Conduct, you may file a complaint with the CFP Board at [www.CFP.net/complaint](http://www.CFP.net/complaint).

### ITEM 3 – DISCIPLINARY INFORMATION

Andrew Dodds has no history of disciplinary events deemed to be reportable under Item 3 of this Supplemental Brochure. FINRA's BrokerCheck® is a resource available to review all reportable history of Andrew Dodds. <https://brokercheck.finra.org/>

### ITEM 4 – OTHER BUSINESS ACTIVITIES

Andrew Dodds is a Registered Representative of LPL Financial Investors Services, LLC. ("LPL") a securities broker/dealer, and a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and an investment adviser registered with the U.S Securities and Exchange Commission ("SEC"). From time to time, he will offer clients advice or products from those activities at LPL. Clients should be aware that these services pay a commission and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment adviser. Our Firm and its representatives always act in the best interest of the client; including the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any representative of our Firm in their capacity as a registered representative at LPL.

Andrew Dodds holds an insurance license to sell insurance products and offers them through various carriers. It is anticipated that a small portion, less than (10%) of his time, will be spent providing these insurance products. He will receive compensation from selling insurance products and therefore receive economic benefit for this activity. This activity creates a conflict of interests with clients. The client is under no obligation to purchase insurance through Andrew Dodds on a commissionable basis. To address this, disclosure is made to the client at the time purchase is made, identifying the nature of the transaction or relationship, the role to be played and any compensation to be paid by the client and/or received by the insurance agent. Clients have the right to decide whether to act on the recommendation and the right to purchase any insurance products through the insurance agent of their choice. The Firm and its Investment Adviser Representative will always act in the best interest of the client.

Andrew Dodds is the managing member of 3DS, LLC. This entity is used for tax purposes for personal and extended family trusts to hold rental real estate. Mr. Dodds spends less than 1 hour per month on this activity.

Andrew Dodds is minority member of Avenue 55 Multifamily Income Partners, LLC, an entity used for personal real estate investments. In addition, Mr. Dodds uses this entity for his self-directed IRA at Pacific Premier Trust. This is a non-investment related activity in which Mr. Dodds spends less than 2 hours per month.

### ITEM 5 – ADDITIONAL COMPENSATION

Andrew Dodds does not receive additional compensation beyond the scope of his role as your investment adviser representative and items listed in Item 4.

### ITEM 6 – SUPERVISION

Andrew Dodds is supervised through a compliance program designed to prevent and detect violations of the federal and state securities laws. Supervision is conducted by the Chief Compliance Officer, John Michael Dodds, who is responsible for administering the policies and procedures. As Chief Compliance Officer, John Michael Dodds reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation. All policies and procedures of the firm are followed.

John Michael Dodds may be reached at (303) 539-3900.



## **Dodds Wealth, LLC**

**John Michael Dodds, CFP®**

**5251 DTC Parkway, Suite 720  
Greenwood Village, Co 80111  
(303) 539-3900**

**May 15, 2023**

### **Part 2B Brochure**

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## ITEM 2 – EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE

**John Michael Dodds, CFP®**

**Year of Birth:** 1989

### **Educational Background:**

- 2017: University of California Los Angeles; Master of Business Administration Finance
- 2011: Colby College; Bachelor of Arts, American Studies
- Insurance License: Life, Health & Long-Term Disability

### **Business Background:**

- *Dodds Wealth, LLC*; Financial Advisor, Chief Compliance Officer & Partner, 2022 – Present
- *Dodds Wealth Management Group, LLC*; Owner 2020 – Present
- *Dodds Wealth Management Group, LLC*; Financial Advisor, 2017 – 2022
- *LPL Financial*; Registered Representative & Investment Advisor Representative, 2017 – Present
- *Dodds Wealth Management Group, LLC*; Associate, 2017

### **Professional Designations:**

- <sup>1</sup>CFP®, Certified Financial Planner, 2020

#### **<sup>1</sup>Minimum Qualifications for The CERTIFIED FINANCIAL PLANNER™ (CFP®) Designation.**

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”). The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements: a) complete an advanced college-level course of study addressing the financial planning subject areas including insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning; b) pass the comprehensive CFP® Certification Examination (1 day; 6 hour exam); c) complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); d) agree to be bound by CFP Board’s Standards of Professional Conduct; e) complete 30 hours of continuing education hours every two years; and f) renew an agreement to be bound by the Standards of Professional Conduct.

Certified Financial Planners are licensed by the CFP Board to use the CFP mark. CFP certification requirements:

- Bachelor’s degree from an accredited college or university.
- Completion of the financial planning education requirements set by the CFP Board ([www.cfp.net](http://www.cfp.net))
- Successful completion of the 6-hour CFP® Certification Exam
- Three-year qualifying full-time work experience
- Successfully pass the Candidate Fitness Standards and background check

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

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

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

John Michael Dodds acknowledges his responsibility as a CFP® to adhere to the standards that have been established in the CFP Board’s Standards of Professional Conduct. If you become aware that John Michael Dodds conduct may violate the Standards of Professional Conduct, you may file a complaint with the CFP Board at [www.CFP.net/complaint](http://www.CFP.net/complaint).

### ITEM 3 – DISCIPLINARY INFORMATION

John Michael Dodds has no history of disciplinary events deemed to be reportable under Item 3 of this Supplemental Brochure. FINRA’s BrokerCheck® is a resource available to review all reportable history of John Michael Dodds. <https://brokercheck.finra.org/>

### ITEM 4 – OTHER BUSINESS ACTIVITIES

John Michael Dodds is a Registered Representative of LPL Financial Investors Services, LLC. (“LPL”) a securities broker/dealer, and a member of the Financial Industry Regulatory Authority, Inc. (“FINRA”) and an investment adviser registered with the U.S Securities and Exchange Commission (“SEC”). From time to time, he will offer clients advice or products from those activities at LPL. Clients should be aware that these services pay a commission and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment adviser. Our Firm and its representatives always act in the best interest of the client; including the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any representative of our Firm in their capacity as a registered representative at LPL.

John Michael Dodds holds an insurance license to sell insurance products and offers them through various carriers. It is anticipated that a small portion, less than (10%) of his time, will be spent providing these insurance products. He will receive compensation from selling insurance products and therefore receive economic benefit for this activity. This activity creates a conflict of interests with clients. The client is under no obligation to purchase insurance through John Michael Dodds on a commissionable basis. To address this, disclosure is made to the client at the time purchase is made, identifying the nature of the transaction or relationship, the role to be played and any compensation to be paid by the client and/or received by the insurance agent. Clients have the right to decide whether to act on the recommendation and the right to purchase any insurance products through the insurance agent of their choice. The Firm and its Investment Adviser Representative will always act in the best interest of the client.

### ITEM 5 – ADDITIONAL COMPENSATION

John Michael Dodds does not receive additional compensation beyond the scope of his role as your investment adviser representative and items listed in Item 4.

### ITEM 6 – SUPERVISION

John Michael Dodds is the Chief Compliance Officer of Dodds Wealth. He supervises and oversees all activities conducted through the firm and maintains policies and procedures to guide his activities. John Michael Dodds reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation. John Michael Dodds may be reached at (303) 539-3900.



## **Dodds Wealth, LLC**

**Deanna Lee Meyer**

**1155 Kelly Johnson Blvd, Suite 130  
Colorado Springs, CO 80920  
(719) 260-9200**

**May 15, 2023**

**Part 2B Brochure**

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## ITEM 2 – EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE

**Deanna L. Meyer**

**Year of Birth:** 1966

### **Educational Background:**

- 1986: ITT Technical Institute; Associates Degree, Accounting
- Insurance License: Life, Health & Long-Term Disability

### **Business Background:**

- *Dodds Wealth, LLC*; Partner & Financial Advisor, 2022 – Present
- Dodds Wealth Management Group, LLC; Owner, 2020 – Present
- Dodds Wealth Management Group, LLC; Financial Advisor, 2014 - 2022
- *LPL Financial*; Registered Representative & Investment Advisor Representative, 2014 – Present
- *Planning Resources Group*; Financial Planner and Office Manager, 1996-2014
- *SII Investments, Inc.*; Registered Representative, 2009 -2014
- *Walnut Street Securities, Inc.*; Registered Representative, 2003 – 2009

## ITEM 3 – DISCIPLINARY INFORMATION

Deanna Meyer has no history of disciplinary events deemed to be reportable under Item 3 of this Supplemental Brochure. FINRA's BrokerCheck® is a resource available to review all reportable history of Deanna Meyer.

<https://brokercheck.finra.org/>

## ITEM 4 – OTHER BUSINESS ACTIVITIES

Deanna Meyer is a Registered Representative of LPL Financial Investors Services, LLC. ("LPL") a securities broker/dealer, and a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and an investment adviser registered with the U.S Securities and Exchange Commission ("SEC"). From time to time, she will offer clients advice or products from those activities at LPL. Clients should be aware that these services pay a commission and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment adviser. Our Firm and its representatives always act in the best interest of the client; including the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any representative of our Firm in their capacity as a registered representative at LPL.

Deanna Meyer holds an insurance license to sell insurance products and offers them through various carriers. It is anticipated that a small portion, less than (10%) of her time, will be spent providing these insurance products. She will receive compensation from selling insurance products and therefore receive economic benefit for this activity. This activity creates a conflict of interests with clients. The client is under no obligation to purchase insurance through Deanna Meyer on a commissionable basis. To address this, disclosure is made to the client at the time purchase is made, identifying the nature of the transaction or relationship, the role to be played and any compensation to be paid by the client and/or received by the insurance agent. Clients have the right to decide whether to act on the recommendation and the right to purchase any insurance products

through the insurance agent of their choice. The Firm and its Investment Adviser Representative will always act in the best interest of the client.

#### **ITEM 5 – ADDITIONAL COMPENSATION**

Deanna Meyer does not receive additional compensation beyond the scope of her role as your investment adviser representative and items listed in Item 4.

#### **ITEM 6 – SUPERVISION**

Deanna Meyer is supervised through a compliance program designed to prevent and detect violations of the federal and state securities laws. Supervision is conducted by the Chief Compliance Officer, John Michael Dodds, who is responsible for administering the policies and procedures. As Chief Compliance Officer, John Michael Dodds reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation. All policies and procedures of the firm are followed.

John Michael Dodds may be reached at (303) 539-3900.



## **Dodds Wealth, LLC**

**Brennan Paul Pate, CFP®**

**5251 DTC Parkway, Suite 720  
Greenwood Village, Co 80111  
(303) 539-3900**

**May 15, 2023**

### **Part 2B Brochure**

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## ITEM 2 – EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE

**Brennan P. Pate, CFP®**

**Year of Birth:** 1978

### **Educational Background:**

- 2000: Northwest Nazarene University, B.S. Biology
- Insurance License: Life, Health & Long-Term Disability

### **Business Background:**

- *Dodds Wealth, LLC*; Partner & Financial Advisor, 2022 – Present
- *Dodds Wealth Management Group, LLC*; Owner, 2022 - Present
- *Dodds Wealth Management Group, LLC*; Financial Advisor, 2018 – 2022
- *Dodds Wealth Management Group, LLC*; Associate, 2014 – 2018
- *LPL Financial*; Registered Representative, 2006 – Present
- *Hamilton & Associates*; Associate, 2009 – 2013
- *Gensler Group*; Assistant, 2006 – 2009

### **Professional Designations:**

- <sup>1</sup>CFP®, Certified Financial Planner, 2021

#### **<sup>1</sup>Minimum Qualifications for The CERTIFIED FINANCIAL PLANNER™ (CFP®) Designation.**

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- Completion of the financial planning education requirements set by the CFP Board ([www.cfp.net](http://www.cfp.net))
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- Three-year qualifying full-time work experience
- Successfully pass the Candidate Fitness Standards and background check

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

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

Brennan Pate acknowledges his responsibility as a CFP® to adhere to the standards that have been established in the CFP Board's Standards of Professional Conduct. If you become aware that Brennan Pate conduct may violate the Standards of Professional Conduct, you may file a complaint with the CFP Board at [www.CFP.net/complaint](http://www.CFP.net/complaint).

### ITEM 3 – DISCIPLINARY INFORMATION

Brennan Pate has no history of disciplinary events deemed to be reportable under Item 3 of this Supplemental Brochure. FINRA's BrokerCheck® is a resource available to review all reportable history of Brennan Pate. <https://brokercheck.finra.org/>

### ITEM 4 – OTHER BUSINESS ACTIVITIES

Brennan Pate is a Registered Representative of LPL Financial Investors Services, LLC. ("LPL") a securities broker/dealer, and a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and an investment adviser registered with the U.S Securities and Exchange Commission ("SEC"). From time to time, he will offer clients advice or products from those activities at LPL. Clients should be aware that these services pay a commission and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment adviser. Our Firm and its representatives always act in the best interest of the client; including the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any representative of our Firm in their capacity as a registered representative at LPL.

Brennan Pate holds an insurance license to sell insurance products and offers them through various carriers. It is anticipated that a small portion, less than (10%) of his time, will be spent providing these insurance products. He will receive compensation from selling insurance products and therefore receive economic benefit for this activity. This activity creates a conflict of interests with clients. The client is under no obligation to purchase insurance through Brennan Pate on a commissionable basis. To address this, disclosure is made to the client at the time purchase is made, identifying the nature of the transaction or relationship, the role to be played and any compensation to be paid by the client and/or received by the insurance agent. Clients have the right to decide whether to act on the recommendation and the right to purchase any insurance products through the insurance agent of their choice. The Firm and its Investment Adviser Representative will always act in the best interest of the client.

### ITEM 5 – ADDITIONAL COMPENSATION

Brennan Pate does not receive additional compensation beyond the scope of his role as your investment adviser representative and items listed in Item 4.

### ITEM 6 – SUPERVISION

Brennan Pate is supervised through a compliance program designed to prevent and detect violations of the federal and state securities laws. Supervision is conducted by the Chief Compliance Officer, John Michael Dodds, who is responsible for administering the policies and procedures. As Chief Compliance Officer, John Michael Dodds reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation. All policies and procedures of the firm are followed.

John Michael Dodds may be reached at (303) 539-3900.



## **Dodds Wealth, LLC**

**Dean Edward Norsworthy, CFP®**

**5251 DTC Parkway, Suite 720  
Greenwood Village, Co 80111  
(303) 539-3900**

**September 26, 2023**

### **Part 2B Brochure**

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## ITEM 2 – EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE

**Dean E. Norsworthy, CFP®**

**Year of Birth:** 1993

### **Educational Background:**

- 2017: The University of Alabama, Master of Science, Civil Engineering
- 2016: The University of Alabama, Bachelor of Science, Mechanical Engineering

### **Professional Designations:**

- <sup>1</sup>CFP®, Certified Financial Planner, 2023

### **Business Background:**

- *Dodds Wealth, LLC*; Associate Advisor, 2022 – Present
- *LPL Financial*; Registered Representative & Investment Advisor Representative, 2021 – Present
- *Dodds Wealth Management Group, LLC*; Paraplanner, 2021 – 2022
- *All-Phase Concrete Construction, Inc.*; Project Manager, 2018 – 2021
- *The Walsh Group*; Intern, 2017

#### **<sup>1</sup>Minimum Qualifications for The CERTIFIED FINANCIAL PLANNER™ Designation.**

I am certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”). Therefore, I may refer to myself as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and I may use these and CFP Board’s other certification marks (the “CFP Board Certification Marks”). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at [www.cfp.net](http://www.cfp.net). CFP® professionals have met CFP Board’s high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- Education – Earn a bachelor’s degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirements through other qualifying credentials.
- Examination – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual’s ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- Experience – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- Ethics – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board’s Code of Ethics and Standards of Conduct (“Code and Standards”), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- Ethics – Commit to complying with CFP Board’s Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does not abide by this commitment, but CFP Board does not guarantee a CFP® professional’s services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.
- Continuing Education – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

### ITEM 3 – DISCIPLINARY INFORMATION

Dean Norsworthy has no history of disciplinary events deemed to be reportable under Item 3 of this Supplemental Brochure. FINRA’s BrokerCheck® is a resource available to review all reportable history of Dean Norsworthy. <https://brokercheck.finra.org/>

### ITEM 4 – OTHER BUSINESS ACTIVITIES

Dean Norsworthy is a Registered Representative of LPL Financial Investors Services, LLC. (“LPL”) a securities broker/dealer, and a member of the Financial Industry Regulatory Authority, Inc. (“FINRA”) and an investment adviser registered with the U.S Securities and Exchange Commission (“SEC”). From time to time, he will offer clients advice or products from those activities at LPL. Clients should be aware that these services pay a commission and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment adviser. Our Firm and its representatives always act in the best interest of the client; including the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any representative of our Firm in their capacity as a registered representative at LPL.

### ITEM 5 – ADDITIONAL COMPENSATION

Dean Norsworthy does not receive additional compensation beyond the scope of his role as your investment adviser representative and items listed in Item 4.

### ITEM 6 – SUPERVISION

Dean Norsworthy is supervised through a compliance program designed to prevent and detect violations of the federal and state securities laws. Supervision is conducted by the Chief Compliance Officer, John Michael Dodds, who is responsible for administering the policies and procedures. As Chief Compliance Officer, John Michael Dodds reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation. All policies and procedures of the firm are followed.

John Michael Dodds may be reached at (303) 539-3900.





## **Dodds Wealth, LLC**

**Kayla Marie Benjamin, CFP®**

**5251 DTC Parkway, Suite 720  
Greenwood Village, Co 80111  
(303) 539-3900**

**November 27, 2023**

### **Part 2B Brochure**

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## ITEM 2 – EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE

**Kayla M. Benjamin, CFP®**

**Year of Birth:** 1989

**Educational Background:**

- 2010: University of Michigan, B.A. Sociology

**Business Background:**

- *Dodds Wealth, LLC*; Associate Advisor, 2023-Present
- *LPL Financial*; Registered Representative, 2023- Present
- *Gill Capital Partners*; Registered Representative, 2016-2023
- *Gill Capital Partners*; Wealth Advisor, 2016-2023
- *Curian Capital*; Client Service Representative, 2015-2016
- *Edward Jones*; Financial Advisor, 2014
- *White Waves Foods*; Trade Claims Specialist, 2013-2014

**Professional Designations:**

- <sup>1</sup>CFP®, Certified Financial Planner, 2019

**<sup>1</sup>Minimum Qualifications for The CERTIFIED FINANCIAL PLANNER™ (CFP®) Designation.**

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP Board”). The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements: a) complete an advanced college-level course of study addressing the financial planning subject areas including insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning; b) pass the comprehensive CFP® Certification Examination (1 day; 6 hour exam); c) complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); d) agree to be bound by CFP Board’s Standards of Professional Conduct; e) complete 30 hours of continuing education hours every two years; and f) renew an agreement to be bound by the Standards of Professional Conduct.

Certified Financial Planners are licensed by the CFP Board to use the CFP mark. CFP certification requirements:

- Bachelor’s degree from an accredited college or university.
- Completion of the financial planning education requirements set by the CFP Board ([www.cfp.net](http://www.cfp.net))
- Successful completion of the 6-hour CFP® Certification Exam
- Three-year qualifying full-time work experience
- Successfully pass the Candidate Fitness Standards and background check

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

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

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

Kayla Benjamin acknowledges her responsibility as a CFP® to adhere to the standards that have been established in the CFP Board's Standards of Professional Conduct. If you become aware that Kayla Benjamin conduct may violate the Standards of Professional Conduct, you may file a complaint with the CFP Board at [www.CFP.net/complaint](http://www.CFP.net/complaint).

### ITEM 3 – DISCIPLINARY INFORMATION

Kayla Benjamin has no history of disciplinary events deemed to be reportable under Item 3 of this Supplemental Brochure. FINRA's BrokerCheck® is a resource available to review all reportable history of Kalya Benjamin. <https://brokercheck.finra.org/>

### ITEM 4 – OTHER BUSINESS ACTIVITIES

Kayla Benjamin is a Registered Representative of LPL Financial Investors Services, LLC. ("LPL") a securities broker/dealer, and a member of the Financial Industry Regulatory Authority, Inc. ("FINRA") and an investment adviser registered with the U.S Securities and Exchange Commission ("SEC"). From time to time, she will offer clients advice or products from those activities at LPL. Clients should be aware that these services pay a commission and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment adviser. Our Firm and its representatives always act in the best interest of the client; including the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any representative of our Firm in their capacity as a registered representative at LPL.

### ITEM 5 – ADDITIONAL COMPENSATION

Kayla Benjamin does not receive additional compensation beyond the scope of her role as your investment adviser representative and items listed in Item 4.

### ITEM 6 – SUPERVISION

Kayla Benjamin is supervised through a compliance program designed to prevent and detect violations of the federal and state securities laws. Supervision is conducted by the Chief Compliance Officer, John Michael Dodds, who is responsible for administering the policies and procedures. As Chief Compliance Officer, John Michael Dodds reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation. All policies and procedures of the firm are followed.

John Michael Dodds may be reached at (303) 539-3900.



## **Dodds Wealth, LLC**

**Steven John Schafer**

**5251 DTC Parkway, Suite 720  
Greenwood Village, Co 80111  
(303) 539-3900**

**May 15, 2023**

### **Part 2B Brochure**

This brochure supplement provides information about Dodds Wealth, LLC (“Dodds Wealth”) that supplements our brochure. You should have received a copy of that brochure. Please contact us at (303) 539-3900 if you did not receive Dodds Wealth, LLC brochure or if you have any questions about the contents of this supplement. Additional information about Steven Schafer is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD# 6760225.

## ITEM 2 – EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE

**Steven Schafer**

**Year of Birth:** 1990

### **Educational Background:**

- 2022: Johns Hopkins University, Master’s Degree, Data & Analytics/Policy
- 2020: Cornell University, Certificate, Data Analytics
- 2017: Colorado State University, Bachelor’s Degree, Business Administration

### **Business Background:**

- *Dodds Wealth, LLC*; Investment Analyst/Trader, 2023 – Present
- *LPL Financial*; Registered Representative, 2023 – Present
- *Raymond James and Associates*; Registered Representative, 2020 - 2023
- *Charles Schwab*; Specialist High Net Worth, 2018 – 2020
- *Cornell University*; Student, 2020
- *Colorado State University*; Student, 2015- 2017

## ITEM 3 – DISCIPLINARY INFORMATION

Steven Schafer has no history of disciplinary events deemed to be reportable under Item 3 of this Supplemental Brochure. FINRA’s BrokerCheck® is a resource available to review all reportable history of Steven Schafer. <https://brokercheck.finra.org/>

## ITEM 4 – OTHER BUSINESS ACTIVITIES

Steven Schafer is a Registered Representative of LPL Financial Investors Services, LLC. (“LPL”) a securities broker/dealer, and a member of the Financial Industry Regulatory Authority, Inc. (“FINRA”) and an investment adviser registered with the U.S Securities and Exchange Commission (“SEC”). From time to time, he will offer clients advice or products from those activities at LPL. Clients should be aware that these services pay a commission and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment adviser. Our Firm and its representatives always act in the best interest of the client; including the sale of commissionable products to advisory clients. Clients are in no way required to implement the plan through any representative of our Firm in their capacity as a registered representative at LPL.

## ITEM 5 – ADDITIONAL COMPENSATION

Steven Schafer does not receive additional compensation beyond the scope of his role as your investment adviser representative and items listed in Item 4.

## ITEM 6 – SUPERVISION

Steven Schafer is supervised through a compliance program designed to prevent and detect violations of the federal and state securities laws. Supervision is conducted by the Chief Compliance Officer, John Michael Dodds, who is responsible for administering the policies and procedures. As Chief Compliance Officer, John Michael Dodds reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation. All policies and procedures of the firm are followed.

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