



Adam L. Way, AIF, CFP[®], ChFC[®], CLTC, CLU[®], AEP[®]

Global Wealth Strategies & Associates, LLC.

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Part 2B Brochure

This brochure supplement provides information about Global Wealth Strategies & Associates (“GWS&A”) that supplements our brochure. You should have received a copy of that brochure. Please contact us at (720) 420-4870 or adam@globalwealthstrategies.io if you did not receive Global Wealth Strategies & Associates, LLC brochure or if you have any questions about the contents of this supplement. Additional information about Adam Way is available on the SEC’s website at www.adviserinfo.sec.gov by searching CRD# 4609168.

ITEM 2 – EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE

Adam L. Way, AIF, CFP[®], ChFC[®], CLTC, CLU[®], AEP[®]

Year of Birth: 1979

Educational Background:

- 2002: Fort Lewis College; B.A.; Business

Business Background:

- *Global Wealth Strategies & Associates, LLC*, Investment Adviser Representative, 11/2021 – Present
- *MML Investors Services, LLC*, Investment Adviser Representative, 8/2014 – 8/2021
- *MML Investors Services, LLC*, Registered Representative, 08/2014 – 8/2021
- *Northwestern Mutual Investment Services*, Investment Adviser Representative, 08/2012-8/2013
- *Northwestern Mutual Investment Services*, Registered Representative, 08/2004-08/2015

Professional Designations:

- ¹AIF, Accredited Investment Fiduciary, 2015
- ²CFP[®], Certified Financial Planner, 2014
- ³ChFC[®], Chartered Financial Consultant, 2013
- ⁴CLTC, Certified Long-Term Care, 2011
- ⁵CLU[®], Chartered Life Underwriter, 2014
- ⁶AEP[®], Accredited Estate Planner, 2021

¹Minimum Qualifications for the Accredited Investment Fiduciary[®] (AIF[®]) Designation.

AIF is offered by the Center for Fiduciary Studies, LLC, a Fiduciary360 (fi360) company. The AIF[®] training curriculum is offered via a web based program or a blended learning option. A candidate must successfully complete the training curriculum and an examination in order to file for the AIF designation. All designees must attest to both a Code of Ethics and Conduct Standards.

²Minimum 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. 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 requirement 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.

³Minimum Qualifications for the Chartered Financial Consultant® (ChFC®) Designation.

ChFC® is offered by The American College. A candidate must successfully complete all courses in the program, meet experience requirements and ethics standards, and agree to comply with The American College Code of Ethics and Procedures. Three years of full-time business experience is required and must be within the five years preceding the date of the award. Current applicants are required to successfully pass nine courses on key financial planning disciplines.

⁴Minimum Qualifications for the Certified in Long-Term Care (CLTC) Designation.

CLTC is owned by the CLTC Board of Standards, Inc. A CLTC designation is obtained by taking a 7-part multi-disciplinary course. The program is offered either in a 2-day classroom setting or by Correspondence Course. Individuals are required to pass a written examination and the designation is renewable every year. Once a candidate passes the examination, that individual must provide a certificate of good standing, or equivalent, from the candidate's state insurance authority and an affidavit, under oath, stating that the candidate has not had a judgment relating to fraudulent behavior in their profession entered against him or her in the past 5 years. To maintain the CLTC designation, all designees are required to meet an ongoing continuing education requirement.

⁵Minimum Qualifications for the Chartered Life Underwriter® (CLU®)

This designation is offered by The American College. This is a professional designation for individuals who specialize in life insurance and estate planning. Current applicants must complete five core courses and three elective courses, and successfully pass all eight two-hour, 100- question examinations in order to receive the designation. Candidates must also meet experience requirements and ethics standards, and agree to comply with The American College Code of Ethics and Procedures. Three years of full-time business experience is required. The three-year period must be within the five years preceding the date of the award.

⁶Minimum Qualifications for the Accredited Estate Planner (AEP®)

This designation is offered by National Association of Estate Planners & Councils. To obtain the AEP®, candidates must be an attorney (JD), accountant (CPA), insurance professional and financial planner (CLU/ChFC, CFP) or trust officer (CTFA), be in good standing with their professional organization and not be subject to disciplinary investigation. They must have a minimum of 5 years' experience in estate planning in one or more of the prerequisite professions. Designees must complete 2 graduate level courses administered by The American College or from another accredited graduate program as part of a master's or doctoral degree unless applicant has 15 or more years' experience as an estate planner. Continuing education is 30 hours every 24 months, including 15 hours in estate planning. Re-certification is required annually.

ITEM 3 – DISCIPLINARY INFORMATION

Adam Way does not have a history of any investment-related legal or disciplinary events that may be deemed to be material to a client's consideration of Adam Way to act as their investment adviser representative. FINRA's BrokerCheck® is a resource available to review the disciplinary history of Adam Way. <https://brokercheck.finra.org/>

ITEM 4 – OTHER BUSINESS ACTIVITIES

Adam Way holds an insurance license to sell insurance products. 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 may create a

conflict of interests with clients. The client is under no obligation to purchase insurance through Adam Way 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.

Adam Way is Managing Member of Global Wealth Strategies Insurance, LLC, a licensed insurance agency in the state of Colorado. Mr. Way offers insurance products through this entity and spends less than 10% of his time each month on this activity.

Adam Way is Managing Member of Way Holdings, LLC. This entity is used for his ownership in Global Wealth Strategies & Associates, LLC, the Registered Investment Adviser.

Adam Way is Trustee for the Adam Ladd Way Trust and Managing Member for B&A Way Management, LLC and 245 Harrison Street, LLC. All of the aforementioned entities are used for Mr. Way's personal real estate and private investments. He spends less than 5% of his time in his role.

Adam Way is a Board Member of Maverick Lending Solutions, LLC, a business that provides lending solutions including mortgage, personal loans, and other related financial services. Mr. Way spends less than 1% of his time each month on this activity. He receives no income from this investment-related entity and spends less than 1% of his time each month.

Adam Way serves on the Board of Directors for Rachel's Challenge. He receives no income for his position spends less than 1% of his time each month in his role.

Adam Way founded the charity organization called Adam Way Racing. This organization supports mountain biking enthusiasts. It is a non-investment related activity in which Mr. Way spends less than 1% of his time each month. In addition, Mr. Way volunteers for Trails Preservation Alliance. He receives no income for these non-investment related entities and spends less than 1% of his time each month.

Adam Way serves as a volunteer for the CFP Board Center for Financial Planning and offers advice and counsel on occasion. No compensation is received for his time spent on this activity.

ITEM 5 – ADDITIONAL COMPENSATION

Adam Way 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

Adam Way is Chief Compliance Officer of GWS&A . He supervises and oversees all activities conducted through the firm and maintains policies and procedures to guide his activities. Adam Way reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation.

Adam Way may be reached at 720-420-4876.