



ADV Part 2B Brochure Supplement  
As of March 01, 2017  
Dodds Wealth Management Group  
Denver Office: 385 Inverness Parkway Suite 105  
Englewood, CO 80112  
Colorado Springs Office: 1155 Kelly Johnson Blvd. Suite 130  
Colorado Springs, CO 80920

This brochure supplement provides information that supplements the Dodds Wealth Management Group brochure. You should have received a copy of that brochure. Please contact us at 303-539-3900 or via e-mail at [michael@DoddsWealth.com](mailto:michael@DoddsWealth.com) if you did not receive Dodds Wealth Management Group's brochure or if you have any questions about the contents of this supplement. The information in this supplement has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Additional information about Dodds Wealth Management Group is available on-line at [www.DoddsWealth.com](http://www.DoddsWealth.com) or on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

**Financial planning services offered through Dodds Wealth Management Group, a Registered Investment Advisor, not affiliated with LPL Financial.**



ADV Part 2B Supplement Brochure  
As of March 01, 2017  
For  
Andrew T Dodds  
Dodds Wealth Management Group  
385 Inverness Parkway Suite 105  
Englewood, CO 80112

This brochure supplement provides information about Andrew T Dodds that supplements the Dodds Wealth Management Group brochure. You should have received a copy of that brochure. Please contact us at 303-539-3900 or via e-mail at [Michael@DoddsWealth.com](mailto:Michael@DoddsWealth.com) if you did not receive Dodds Wealth Management Group's brochure or if you have any questions about the contents of this supplement. The information in this supplement has not been approved or verified by the United States Securities and Exchange Commission or by any State securities authority.

Additional information about Dodds Wealth Management Group is available on-line at [www.DoddsWealth.com](http://www.DoddsWealth.com).

**Financial planning services offered through Dodds Wealth Management Group, a Registered Investment Advisor, not affiliated with LPL Financial.**

## **Item 2 - Educational Background and Business Experience**

The education and business background of Andrew T. Dodds is as follows: born 1961; BA Stanford University, Department of Economics, 1984; Commercial Real Estate broker with Cushman Wakefield, 1984 to 1990; Certified Financial Planner, 1995; Financial Advisor with American Express Financial Advisors 1991 to 2003; Owner, Dodds Wealth Management Group 2003 to present; Registered Representative and Investment Adviser Representative of LPL Financial 2003 to present.

## **Item 3 - Disciplinary Information**

On July 9, 2008 a client filed a formal complaint against Mr. Dodds alleging unsuitable investments within his fee-based account. The alleged damage was \$5,000 on an account valued at approximately \$400,000. While the compensation sought was approximately 1.2% of the client's account, and we did not believe the claim had merit, a settlement of \$4,500 was reached on April 9, 2009 because of extreme personal circumstances surrounding the client's life at the time and the estimated costs of defending against a claim.

## **Item 4 - Other Business Activities**

Mr. Dodds is a registered securities representative and investment advisor representative ("IAR") with LPL Financial, which is a securities broker/dealer registered with the Financial Industry Regulatory Authority (FINRA) and an investment advisor registered with the Securities and Exchange Commission. In his capacity as registered representative and IAR for LPL Financial, Mr. Dodds may recommend securities products and advisory services and accounts (including Strategic Asset Management accounts, known as SAM accounts) for compensation. This could present a conflict of interest to the extent he could receive fees and/or commissions (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in his capacity as registered representative/IAR for LPL Financial. The details of LPL Financial's advisory accounts and services are fully disclosed in LPL Financial's Form ADV. Mr. Dodds spends approximately 70% of his time on such duties. Therefore, his primary business is providing brokerage and advisory services through LPL Financial. The client is under no obligation to purchase products or services he recommends, nor are you obligated to purchase them through him.

Mr. Dodds is a licensed insurance agent authorized to sell insurance products of various insurance companies. This could present a potential conflict of interest as he could receive commissions for selling these products. The client is under no obligation to purchase products that he may recommend, nor are you obligated to purchase those products through him. Approximately 10% of his time is spent on insurance products.

## **Item 5 - Additional Compensation**

Mr. Dodds is paid primarily from fees and commissions in his role as a Registered Representative and Investment Advisory Representative with LPL Financial. In his separate capacity as an Investment Adviser Representative with LPL Financial, he receives fees from managing investment accounts based on a specific percent of the account value. Annual fees can range from .5% up to 1.25% of account value. Fees are calculated and administered by LPL Financial on a quarterly basis, and paid to him on a monthly basis. As stated in the above section, this could present a conflict of interest and clients are in no way obligated to use Andrew for the management of their assets.

In his separate capacity as a Registered Representative with LPL Financial, he may receive commission for traditional brokerage accounts custodied through LPL Financial. Commissions are calculated based on the number of shares and the price of the security. Commissions are also calculated on mutual funds sold within the brokerage accounts at a rate set by the mutual fund company. The commission typically ranges from 3.5 to 5.5% of a mutual fund A share; B shares are not sold by him; and C shares pay typically 1% a year to him for as long as the client holds the mutual fund. As stated in the above section, this could present a conflict of interest and clients are in no way obligated to use him for the management of their assets.

Mutual fund companies pay commissions to Mr. Dodds when a mutual fund product is sold outside of the brokerage or fees for the advisory management accounts at LPL since advisory accounts pay fees rather than commissions.

The best example of this type of transaction is when he sells a 529 account to a client. The 529 accounts carry either a front end commission on their A Shares, which is paid upfront when a deposit is made at 3.5% or their C shares pay 1% annually to the advisor. While B shares are offered by the mutual fund company, Mr. Dodds does not use B shares.

Andrew may also receive commissions generated from the sale of insurance products, such as term life insurance, disability insurance, and long term care insurance. While his goal is to seek out the best value for the product being offered, the product offered may not be the cheapest available because the cost of the product is not the only variable in selecting an insurance company or product.

Commissions may also be paid to Mr. Dodds from the sale of annuity products. The annuity companies pay a commission to Andrew for selling their products, typically ranging from 2.5% to 5% up front. Some annuities pay trails to Andrew for servicing the contracts up to 1% annually.

Compensation is also offered by the annuity companies and mutual fund companies for selling their products. An example of this is tickets to a local sporting event such as the Colorado Avalanche Hockey game. Some companies offer to help support client events by helping to pay the costs of the event. While a company is not selected based on their level of support or their ability to support, this can be viewed as a conflict of interest for him and the companies he chooses to use for their products.

#### **Item 6 - Supervision**

Mr. Dodds owns the firm and consequently does not report to a supervisor. The firm however does have a separate Chief Compliance Officer who is responsible for providing general regulatory compliance oversight, and uses a team approach for servicing clients. Mr. Dodds, the firm's owner, or Mr. Franklin, the firm's Chief Compliance Officer, can be reached at 303-539-3900.

#### **Item 7 - Requirements for State-Registered Advisers**

Colorado registered investment adviser representatives are required to disclose all material facts regarding certain other legal, disciplinary or financial events that would be material to the evaluation of the representative. Mr. Dodds is currently not subject to, nor has ever been subject to, any legal, disciplinary or financial events of this nature.



ADV Part 2B Supplement Brochure  
As of March 01, 2017  
For  
Michael Franklin  
Dodds Wealth Management Group  
385 Inverness Parkway Suite 105  
Englewood, CO 80112

This brochure supplement provides information about Michael Franklin that supplements the Dodds Wealth Management Group brochure. You should have received a copy of that brochure. Please contact us at 303-539-3900 or via e-mail at [Michael@DoddsWealth.com](mailto:Michael@DoddsWealth.com) if you did not receive Dodds Wealth Management Group's brochure or if you have any questions about the contents of this supplement. The information in this supplement has not been approved or verified by the United States Securities and Exchange Commission or by any State securities authority.

Additional information about Dodds Wealth Management Group is available on-line at [www.DoddsWealth.com](http://www.DoddsWealth.com).

**Financial planning services offered through Dodds Wealth Management Group, a Registered Investment Advisor, not affiliated with LPL Financial.**

## **Item 2 - Educational Background and Business Experience**

The education and business background of Michael Franklin is as follows: born 1973; BS Louisiana College, Department of Psychology, 1997; Financial Advisor with American Express Financial Advisors 2000; joined Andrew Dodds in May 2000; Dodds Wealth Management Group 2003 to present; Registered Representative and Investment Adviser Representative of LPL Financial 2007 to present.

## **Item 3 - Disciplinary Information**

Registered investment adviser representatives are required to disclose all material facts regarding any legal or disciplinary events that would be material to the evaluation of the representative. Mr. Franklin is currently not subject to, nor has ever been subject to, any legal or disciplinary events of this nature.

## **Item 4 - Other Business Activities**

Mr. Franklin is a registered securities representative and investment advisor representative (“IAR”) with LPL Financial, which is a securities broker/dealer registered with the Financial Industry Regulatory Authority (FINRA) and an investment advisor registered with the Securities and Exchange Commission. In his capacity as registered representative and IAR for LPL Financial, Mr. Franklin may recommend securities products and advisory services and accounts (including Strategic Asset Management accounts, known as SAM accounts) for compensation. This could present a conflict of interest to the extent he could receive fees and/or commissions (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in his capacity as registered representative/IAR for LPL Financial. The details of LPL Financials’ advisory accounts and services are fully disclosed in LPL Financials’ Form ADV. Mr. Franklin spends approximately 70% of his time on such duties. Therefore, his primary business is providing brokerage and advisory services through LPL Financial. The client is under no obligation to purchase products or services he recommends, nor are you obligated to purchase them through him.

Mr. Franklin is a licensed insurance agent authorized to sell insurance products of various insurance companies. This could present a potential conflict of interest as he could receive commissions for selling these products. The client is under no obligation to purchase products that he may recommend, nor are you obligated to purchase those products through him. Approximately 10% of his time is spent on insurance products.

## **Item 5 - Additional Compensation**

Mr. Franklin does not receive any economic benefits, sales awards, or other compensation from someone who is not a client in connection with providing advisory services to clients.

## **Item 6 - Supervision**

Mr. Franklin reports to Andrew T Dodds, who owns the firm. Mr. Franklin serves the Chief Compliance Officer and is responsible for providing general regulatory compliance oversight. The firm also uses a team approach for servicing clients. Mr. Dodds or Mr. Franklin can be reached at 303-539-3900.

## **Item 7 - Requirements for State-Registered Advisers**

Colorado registered investment adviser representatives are required to disclose all material facts regarding certain other legal, disciplinary or financial events that would be material to the evaluation of the representative. Mr. Franklin is currently not subject to, nor has ever been subject to, any legal, disciplinary or financial events of this nature.



ADV Part 2B Supplement Brochure  
As of March 01, 2017  
For  
Ryan Erickson  
Dodds Wealth Management Group  
385 Inverness Parkway Suite 105  
Englewood, CO 80112

This brochure supplement provides information about Ryan Erickson that supplements the Dodds Wealth Management Group brochure. You should have received a copy of that brochure. Please contact us at 303-539-3900 or via e-mail at [Michael@DoddsWealth.com](mailto:Michael@DoddsWealth.com) if you did not receive Dodds Wealth Management Group's brochure or if you have any questions about the contents of this supplement. The information in this supplement has not been approved or verified by the United States Securities and Exchange Commission or by any State securities authority.

Additional information about Dodds Wealth Management Group is available on-line at [www.DoddsWealth.com](http://www.DoddsWealth.com).

**Financial planning services offered through Dodds Wealth Management Group, a Registered Investment Advisor, not affiliated with LPL Financial.**

## **Item 2 - Educational Background and Business Experience**

The education and business background of Ryan Erickson is as follows: born 1977; BSBA University of Denver, Finance 1999; Certified Financial Planner 2005; Financial Para-planner with American Express Financial Advisors 1998; Joined Dodds Wealth Management Group in April 2005; Registered Representative and Investment Adviser Representative of LPL Financial 2008 to present.

## **Item 3 - Disciplinary Information**

Registered investment adviser representatives are required to disclose all material facts regarding any legal or disciplinary events that would be material to the evaluation of the representative. Mr. Erickson is currently not subject to, nor has ever been subject to, any legal or disciplinary events of this nature.

## **Item 4 - Other Business Activities**

Mr. Erickson is a registered securities representative and investment advisor representative ("IAR") with LPL Financial, which is a securities broker/dealer registered with the Financial Industry Regulatory Authority (FINRA) and a federally covered investment advisor registered with the Securities and Exchange Commission. In his capacity as registered representative and IAR for LPL Financial, Mr. Erickson may recommend securities products and advisory services and accounts (including Strategic Asset Management accounts, known as SAM accounts) for compensation. This could present a conflict of interest to the extent he could receive fees and/or commissions (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in his capacity as registered representative/IAR for LPL Financial. The details of LPL Financials' advisory accounts and services are fully disclosed in LPL Financials' Form ADV. Mr. Erickson spends approximately 70% of his time on such duties. Therefore, his primary business is providing brokerage and advisory services through LPL Financial. The client is under no obligation to purchase products or services he recommends, nor are you obligated to purchase them through him.

Mr. Erickson is a licensed insurance agent authorized to sell insurance products of various insurance companies. This could present a potential conflict of interest as he could receive commissions for selling these products. The client is under no obligation to purchase products he may recommend, nor are you obligated to purchase those products through him. Approximately 10% of his time is spent on insurance products.

## **Item 5 - Additional Compensation**

Mr. Erickson does not receive any economic benefits, sales awards, or other compensation from someone who is not a client in connection with providing advisory services to clients.

## **Item 6 - Supervision**

Mr. Erickson reports to Andrew T Dodds, who owns the firm. The firm also has a Chief Compliance Officer who is responsible for providing general regulatory compliance oversight, and uses a team approach for servicing clients. Mr. Dodds, the owner of the firm, or Mr. Franklin, the firm's Chief Compliance Officer, can be reached at 303-539-3900.

## **Item 7 - Requirements for State-Registered Advisers**

Colorado registered investment adviser representatives are required to disclose all material facts regarding certain other legal, disciplinary or financial events that would be material to the evaluation of the representative. Mr. Erickson is currently not subject to, nor has ever been subject to, any legal, disciplinary or financial events of this nature.



ADV Part 2B Supplement Brochure  
As of March 01, 2017  
For  
Deanna Meyer  
Dodds Wealth Management Group  
1155 Kelly Johnson Blvd., Suite 130  
Colorado Springs, CO 80920

This brochure supplement provides information about Deanna Meyer that supplements the Dodds Wealth Management Group brochure. You should have received a copy of that brochure. Please contact us at 303-539-3900 or via e-mail at [Michael@DoddsWealth.com](mailto:Michael@DoddsWealth.com) if you did not receive Dodds Wealth Management Group's brochure or if you have any questions about the contents of this supplement. The information in this supplement has not been approved or verified by the United States Securities and Exchange Commission or by any State securities authority.

Additional information about Dodds Wealth Management Group is available on-line at [www.DoddsWealth.com](http://www.DoddsWealth.com).

**Financial planning services offered through Dodds Wealth Management Group, a Registered Investment Advisor, not affiliated with LPL Financial.**

## **Item 2 - Educational Background and Business Experience**

The education and business background of Deanna Meyer is as follows: born 1966; Registered Assistant for Walnut Street Securities, 2000 to 2009; Licensed Administrator for SII Investments, 2009 to 2014; Investment Adviser Representative, Dodds Wealth Management Group, 2014 - Present; Office Manager, Planning Resources Group, Inc., 1996 to present; Registered Representative and Investment Adviser Representative of LPL Financial, 2014 - present.

## **Item 3 - Disciplinary Information**

Registered investment adviser representatives are required to disclose all material facts regarding any legal or disciplinary events that would be material to the evaluation of the representative. Ms. Meyer is currently not subject to, nor has ever been subject to, any legal or disciplinary events of this nature.

## **Item 4 - Other Business Activities**

Ms. Meyer is an employee of Planning Resources Group, Inc., a firm which provides tax and legal services.

Ms. Meyer is a registered securities representative and investment advisor representative (“IAR”) with LPL Financial, which is a securities broker/dealer registered with the Financial Industry Regulatory Authority (FINRA) and an investment advisor registered with the Securities and Exchange Commission. In her capacity as registered representative and IAR for LPL Financial, Ms. Meyer may recommend securities products and advisory services and accounts (including Strategic Asset Management accounts, known as SAM accounts) for compensation. This could present a conflict of interest to the extent she could receive fees and/or commissions (including 12b-1 trails from mutual fund products) if the client chooses to implement recommendations made while acting in her capacity as registered representative/IAR for LPL Financial. The details of LPL Financials’ advisory accounts and services are fully disclosed in LPL Financials’ Form ADV. Ms. Meyer spends most of her time on such duties. The client is under no obligation to purchase products or services she recommends, nor are you obligated to purchase them through her.

Ms. Meyer is a licensed insurance agent authorized to sell insurance products of various insurance companies. This could present a potential conflict of interest as she could receive commissions for selling these products. The client is under no obligation to purchase products that she may recommend, nor are you obligated to purchase those products through her. Less than 5% of her time is spent on insurance products.

## **Item 5 - Additional Compensation**

Ms. Meyer does not receive any economic benefits, sales awards, or other compensation from someone who is not a client in connection with providing advisory services to clients.

## **Item 6 - Supervision**

Ms. Meyer reports to Andrew T Dodds, who owns the firm. The firm also has a Chief Compliance Officer who is responsible for providing general regulatory compliance oversight, and uses a team approach for servicing clients. Mr. Dodds, the firm’s owner, or Mr. Franklin, the firm’s Chief Compliance Officer, can be reached at 303-539-3900.

## **Item 7 - Requirements for State-Registered Advisers**

Colorado registered investment adviser representatives are required to disclose all material facts regarding certain other legal, disciplinary or financial events that would be material to the evaluation of the representative. Ms. Meyer is currently not subject to, nor has ever been subject to, any legal, disciplinary or financial events of this nature.