



Joshua B. Roberts, AAMS

Allen Wealth Management, LLC

**980 Highway 105
Boone, NC 28607**

**Telephone: 828-268-9693
Facsimile: 828-268-9694**

October 1, 2019

**FORM ADV PART 2B
BROCHURE SUPPLEMENT**

This brochure supplement provides information about Joshua B. Roberts that supplements the Allen Wealth Management, LLC brochure. You should have received a copy of that brochure. Contact us at 828-268-9693 if you did not receive Allen Wealth Management, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Joshua B. Roberts (CRD # 6717787) is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Educational Background and Business Experience

Joshua B. Roberts, AAMS

Year of Birth: 1992

Formal Education After High School:

- Appalachian State University - 8/2016, Bachelor, Finance & Banking
- Caldwell Community college - 12/2013 Associate of Arts

Business Background:

- Allen Wealth Management, LLC, Investment Adviser Representative, 5/2018 - Present
- Raymond James Financial Services Inc., Registered Representative, 3/2018 - Present
- Raymond James Financial Services Inc., Non-Registered Support Staff, 1/2018 - 3/2018
- Estate Planning Center, Insurance Agent, 8/2016 - 11/2017
- Stick Boy Bread Co, Shift Leader, 7/2012 - 6/2016
- Appalachian State University, Student, 08/2013 - 08/2016
- Mountain Times Publications, Customer Service Representative, 3/2014 - 8/2014
- Caldwell Community College, Student, 08/2011 - 12/2013

Certifications: **AAMS**

Accredited Asset Management SpecialistSM (AAMS[®])

This designation is awarded by the College for Financial Planning to investment professionals who complete its 12-module AAMS[®] Professional Education Program, pass an examination, commit to a code of ethics and agree to pursue continuing education.

Item 3 Disciplinary Information

Form ADV Part 2B requires disclosure of certain criminal or civil actions, administrative proceedings, and self-regulatory organization proceedings, as well as certain other proceedings related to suspension or revocation of a professional attainment, designation, or license. Mr. Joshua B. Roberts has no required disclosures under this item.

Item 4 Other Business Activities

Joshua B. Roberts is a Registered Representative with Raymond James Financial Services, Inc.. Raymond James Financial Services, Inc. is a diversified financial services company engaged in the sale of specialized investment products. In this capacity, Mr. Roberts may recommend securities or insurance products offered by Raymond James Financial Services, Inc. as part of your investment portfolio. If you purchase these products through Mr. Roberts, he will receive the customary commissions in his separate capacity as a Registered Representative of Raymond James Financial Services, Inc..

Additionally, Mr. Roberts could be eligible to receive incentive awards such as Raymond James Financial Services, Inc. may offer. He may also receive 12b-1 fees from mutual funds that pay such fees. The receipt of additional compensation may give Mr. Roberts an incentive to recommend investment products based on the compensation received, rather than on your investment needs.

Item 5 Additional Compensation

Refer to the *Other Business Activities* section above for disclosures on Mr. Roberts's receipt of additional compensation as a result of his other business activities.

Also, refer to the *Fees and Compensation, Client Referrals and Other Compensation, and Other Financial Industry Activities and Affiliations* section(s) of Allen Wealth Management, LLC's firm brochure for additional disclosures on this topic.

Item 6 Supervision

In the supervision of our associated persons, advice provided is limited based on the restrictions set by Allen Wealth Management, LLC, and by internal decisions as to the types of investments that may be included in client portfolios. We conduct periodic reviews of client holdings and documented suitability information to provide reasonable assurance that the advice provided remains aligned with each client's stated investment objectives and with our internal guidelines.

My supervisor is: Jonathan Allen, Member/Chief Compliance Officer

Supervisor phone number: 828-268-9693