

**Item 1 – Cover Page**

**Firm Brochure**  
(Part 2A of Form ADV)  
February 28, 2017

NovaPoint Capital LLC  
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Atlanta, GA 30363  
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[www.novapointcapital.com](http://www.novapointcapital.com)

This Brochure provides information about the qualifications and business practices of NovaPoint Capital LLC. If you have any questions about the contents of this Brochure, please contact us at 404-445-7885 and/or [www.novapointcapital.com](http://www.novapointcapital.com). The information in this Brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

NovaPoint Capital LLC is a registered investment adviser. Registration of an Investment Adviser does not imply any level of skill or training. The oral and written communications of an Adviser provides you with information about which you determine to hire or retain an Adviser.

Additional information about NovaPoint Capital LLC is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 2 – Material Changes

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This Brochure is prepared in the revised format required by the SEC beginning in 2011. Registered Investment Advisers are required to use this format in order to inform Clients of the nature of advisory services provided, types of Clients served, fees charged, potential conflicts of interest and other information. The new Brochure requirements include providing a Summary of Material Changes (the “Summary”) reflecting any change to our policies, practices, or conflicts of interest made since our last annual update. This Summary is provided to all Clients within 120 days of our fiscal year-end. The complete Brochure is available to Clients at any time upon request.

There are no material changes.

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## **Item 4 – Advisory Business**

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### **Firm Description:**

NovaPoint Capital LLC was formed in October 2014.

NovaPoint Capital LLC is an investment advisory firm based in Atlanta, Georgia. We are value investors with a long time horizon and a focus on publicly-traded companies that pay dividends. Our philosophy is to build wealth by investing primarily in equity securities of companies run by shareholder-oriented managers. We purchase the securities of these companies when (1) the market price is at a significant discount to our assessment of what the company is worth and (2) when we expect the value of the company to grow. We sell when prices approach or exceed our assessment of value or when the value of the company begins to erode.

### **Principal Owners:**

The firm's principal owner Alan J. Conner President/ Chief Compliance Officer owns 50% and Joseph M. Sroka Secretary / Chief Investment Officer owns 50% of NovaPoint Capital LLC.

### **Client Assets:**

NovaPoint Capital LLC manages Clients' assets on a discretionary basis. As of February 28, 2017, NovaPoint manages \$38,415,844 of Client assets.

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### **Advisory Services:**

NovaPoint Capital LLC, ("NovaPoint") provides investment advisory services to individuals, pension and profit sharing plans, trusts, endowments, and charitable organizations and corporation or business entities other than those listed above. We primarily invest in equity securities including exchange-listed securities, securities trade over-the-counter and foreign issuers, corporate debt securities (other than commercial paper) and mutual funds. We have the flexibility to invest in other security types when we feel it would assist in meeting a Client's investment objectives.

#### *Tailored Relationships*

NovaPoint has full authority to buy and sell securities in Client accounts, subject to guidelines set forth by the client. There are some situations, however, where a Client requests that certain securities be retained in the portfolios, or where the client has placed restrictions on using certain

types of investments for philosophical or religious reasons. We adhere closely to those restrictions.

## **Item 5 – Fees and Compensation**

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### **Description:**

NovaPoint provides investment advisory services for a percentage of assets under management.

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### **Fee Billing**

Than annual fee for investment management services is 1% and is calculated on an average daily value and billed monthly in arrears. Fees are negotiable. NovaPoint typically reduces fees for select groups, such as non-profit organizations and military veterans.

### **Other Client Investment Expenses:**

Brokerage commission paid by Nova Point Clients may vary within reasonable limits among the firms NovaPoint deals with. This variation is acceptable to NovaPoint and we believe is in the best interest of our Clients, recognizing the variations in the level of services provided by different brokerage firms (see Item 12 – Brokerage Practices).

Fees paid to NovaPoint are exclusive of all custodial and transaction costs paid to the Client's custodian, brokers or other third party consultants. Please see Item 12-Brokerage Practices for additional information. Fees paid to NovaPoint are also separate and distinct from the fees and expenses charged by mutual funds, ETF's (exchange traded funds) or other investment pools to their shareholders (generally including a management fee and fund expenses, as described in each fund's prospectus or offering materials). The Client should review all fees charged by funds, brokers, NovaPoint and others to fully understand the total amount of fees paid by the Client for investment and financial-related services.

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### **Fees Paid in Arrears:**

Client fees are paid on a monthly basis in arrears calculated on an average daily account balance. Clients may terminate the Investment Management Agreement by written notice at any time. A pro-rata charge of the fee due will be billed to the Client.

There is no minimum annual fee and all fees are negotiable. Current Client relationships may exist where the fees are higher or lower than the fee schedule above.

## **Item 6 – Performance-Based Fees and Side-By-Side Management**

NovaPoint does not have any performance-based fee arrangements. “Side by Side Management” refers to a situation in which the same firm manages accounts that are billed based on a percentage of assets under management and at the same time manages other accounts for which fees are assessed on a performance fee basis. Because NovaPoint has no performance-based fee accounts, it has no side-by-side management.

## **Item 7 – Types of Clients**

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### **Description:**

NovaPoint provides portfolio management services to individuals, pension and profit sharing plans, trusts, charitable organizations and corporations.

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### **Account Minimums:**

For an equity-only or balanced accounts, NovaPoint has a minimum requirement of \$250,000 for accepting a new Client; this requirement could be spread over more than one account. NovaPoint may waive the account minimum size at its sole discretion.

## **Item 8 – Methods of Analysis, Investment Strategies and Risk of Loss**

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### **Methods of Analysis and Investment Strategies:**

NovaPoint Capital LLC utilizes a combination of quantitative, fundamental and technical analysis methods in its investment process.

Quantitative analysis involves the use of mathematical and statistical modeling, measurement and research. This is used to analyze the large amount of data available in the financial markets to assist in the investment decision making process. Several financial data bases as well as proprietary modeling methods are utilized in this process.

Fundamental analysis involves analyzing individual companies and their industry groups, such as a company’s financial statements, details regarding the company’s product line, the experience and expertise of the company’s management, and the outlook for the company’s industry. This offers a more qualitative view of a company’s prospects and, in conjunction with quantitative analysis, offers a more robust and multi-faceted approach to decision making. The main source of information used in this fundamental security analysis is filings with the Securities and

Exchange Commission, financial news, annual reports, prospectuses, company press releases and research prepared by others. Employees of NovaPoint Capital LLC also attend on- and off-site visits with company management teams, conference calls and industry conferences.

Technical analysis provides an understanding of behavior factors in the financial markets by analyzing market data in a graphical format. This analysis method can help better understand market forces impacting securities prices.

NovaPoint Capital LLC invests each portfolio in accordance with the Statement of Investment Policy that has been developed specifically for each Client. Depending upon the Client's portfolio objectives and risk tolerance each will have a specific asset allocation target.

### **Investment Strategies**

NovaPoint Capital LLC constructs Client portfolios based on the allocation and tolerances deemed appropriate in each Client's Statement of Investment Policy. These portfolios will likely include one or more of the following asset classes: Equity, Mutual Funds/ETFs, Fixed Income and Options.

#### **Equity**

We employ a value-oriented investing strategy in the equity portfolios we manage. Portfolios typically consist of 30 to 50 stocks that we select based on our own research and ideas.

#### *Buy Discipline*

We look to purchase the stocks of high quality businesses that we have evaluated via the quantitative and qualitative processes outlined above. We seek to invest in stocks of companies that offer long term value creation.

#### *Sell Discipline*

We generally sell a portfolio holding if the company's strategy has departed from our expectations as evidenced by its financial metrics or business actions. We will also sell companies we believe are fully valued and offer little further upside potential.

### **Mutual Funds and ETFs**

NovaPoint uses mutual funds and Exchange Traded Funds (ETF's) for Client accounts with smaller asset levels that we feel we cannot adequately diversify through ownership of individual stocks and bonds. In this case, we will invest in mutual funds or exchange traded funds we feel reflect similar investment strategy to our own. We also look for funds with comparatively low operating expenses.

### **Fixed Income**

NovaPoint purchases the debt of the U.S. Government, its Agencies, States and Municipalities, Foreign Sovereigns, and Corporations. The main objective is safe return of principal along with sufficient interest earned relative to risk incurred. Fixed Income portfolios are managed based on each individual Client's Statement of Investment Policy with regard to tax, duration, cash flow and risk. Bond funds we deem appropriate can also be a part of a Client's fixed income investments.

### **Options**

NovaPoint buys and sells options on individual equity positions to either hedge or generate income when suitable based on each Client's Statement of Investment Policy.

### **Risk of Loss**

Regardless of how many precautions investors undertake, it is possible to lose money in the securities markets.

To help reduce risk in portfolios that contain individual securities, NovaPoint continuously monitors the risk / reward of owning each security.

### **Other Risks**

#### *Management Risks.*

While NovaPoint Capital LLC manages Client investment portfolios based on NovaPoint's experience, research and proprietary methods. The value of Client investment portfolios will change daily based on the performance of the underlying securities in which they are invested.

#### *Risks of Investments in Mutual Funds and ETFs*

As described above, NovaPoint may invest Client portfolios in mutual funds and ETFs. Investments in mutual funds and ETFs are subject to risks associated with the markets in which they invest. In addition, the success of a mutual fund or ETF will be related to the skills of their particular managers. Mutual Funds and ETFs are also subject to risks due to regulatory restrictions applicable to registered investment companies under the Investment Company Act of



1940 which, among other things, limit their holdings in certain securities and limit the receipt of income associated with non-security investments such as commodities.

*Equity Market Risks*

NovaPoint will generally invest portions of Client assets directly into equity investments, primarily stocks, or into mutual funds that invest in the stock market. Investments in individual securities and mutual funds that invest in stocks and other equity securities are subject to the risks of the stock market. Among other things, investments in stocks are subject to short-term price volatility and the risk that stock values may decline over longer periods due to general market declines in the stock prices for all companies, regardless of any individual security's prospects.

*Fixed Income Risks*

NovaPoint may invest portions of Client assets directly into fixed income instruments, such as bonds and notes, or may invest in mutual funds that invest in bonds and notes. Fixed income investments are subject to risks which include, without limitation, interest rate risks (risks that changes in interest rates will devalue the investments - securities with longer maturities are more sensitive to interest rate changes), credit risks (risks of default by borrowers) and inflation risk (inflation erodes the purchasing power of the income received over the life of a bond).

**Item 9 – Disciplinary Information**

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to the evaluation of NovaPoint Capital LLC or the integrity of NovaPoint's management. NovaPoint has no information applicable to this item.

**Item 10 – Other Financial Industry Activities and Affiliations**

NovaPoint Capital LLC is a State registered investment adviser and does not engage in any other financial industry activities and has no affiliations with any other firms.

Alan Conner, President/CCO of NovaPoint is also the President and Founder of My Professional CFO LLC. My Professional CFO provides incorporation, accounting/payroll and tax services for independent contractors. NovaPoint and My Professional CFO may have overlapping Clients, however there is no requirement that a Client of one entity must do business with the other. In addition, there is no difference in Client fees.

## **Item 11 – Code of Ethics**

In order to provide an understanding of NovaPoint Capital LLC's standards for meeting our fiduciary responsibility to Client, NovaPoint has developed a Code of Ethics that must be adhered to by all NovaPoint employees. This Code sets forth standards of conduct expected of advisory personnel and addresses conflicts that arise from personal trading by advisory personnel. This Code includes limitation on personal trading by employees, reporting requirements for employee's securities holding and personal securities transactions and insider trading policies and procedures. A copy of NovaPoint's Code of Ethics is available to Clients and potential Clients upon request.

Compliance with the provision of this Code of Ethics shall be considered a basic condition employment with NovaPoint. It is important that employees understand the reasons for compliance with this Code. Employees are urged to seek the advice of the CCO for any question as to the application of this Code to their individual circumstances. Employees should also understand that a material breach of the provisions of this Code may constitute grounds for termination of employment with NovaPoint.

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### **Recommend Securities with Material Financial Interest:**

NovaPoint and its employees do not act a principal in buying securities from (or selling securities to) our Clients. We do not act as general partner in a partnership in which we solicit Client investments. We do not act as an investment adviser to an investment company that we recommend to Clients.

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### **Invest in Same Securities Recommended to Clients:**

NovaPoint and NovaPoint's employees may buy or sell securities which are also recommended to Clients. Such transactions should occur after or contemporaneously with purchases or sales in Client accounts.

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### **Personal Trading Policies:**

The Code sets forth policies and procedures to monitor and review the personal trading activities of associated persons. From time to time NovaPoint's associated persons may invest in the same securities utilized in Client portfolios. Under its Code, NovaPoint has adopted procedures designed to reduce or eliminate conflicts of interest that this could potentially cause. The Code's personal trading policies include procedures for limitations on personal securities transactions of associated persons, reporting and review of such trading and pre-clearance of certain types of personal trading activities. These policies are designed to discourage and prohibit personal

trading that would disadvantage Clients. The Code also provides for disciplinary action as appropriate for violations.

## **Item 12 – Brokerage Practices**

### **Best Execution and Benefits of Brokerage Selection:**

When given discretion to select the brokerage firm that will execute orders in Client accounts, NovaPoint seeks “best execution” for Client trades, which is a combination of a number of factors, including, without limitation, quality of execution, services provided and commission rates. Therefore, NovaPoint may use or recommend the use of brokers who do not charge the lowest available commission in the recognition of research and securities transaction services, or quality of execution. Research services received with transactions may include proprietary or third party research (or any combination), and may be used in servicing any or all of NovaPoint’s Clients. Therefore, research services received may not be used for the account for which the particular transaction was effected.

### **Research and Soft Dollar Benefits:**

NovaPoint participates in institutional adviser programs (the “Programs”) offered by Schwab Advisor Services, a division of Charles Schwab & Co, Inc., member SIPC (“Schwab”) and TD Ameritrade Institutional, a division of TD Ameritrade Inc, member SIPC (“TDA”). Schwab and TDA offer its Programs to independent investment advisers. The Programs include such services as custody of securities, trade execution, clearance and settlement of transactions. NovaPoint receives some benefits from Schwab and TDA through its participation in the Programs. NovaPoint is independently owned and operated and is not affiliated with Schwab or TDA.

NovaPoint may recommend Schwab or TDA to Clients for custody and brokerage services. While there is no direct link between NovaPoint’s participation in the Programs and the investment advice it gives to its Clients, through its participation in the Programs NovaPoint receives economic benefits that are typically not available to Schwab or TDA retail investors. These benefits generally include, without limitation, the following products and services (provided without cost or at a discount): receipt of duplicate Client statements and confirmations; consulting services; access to a trading desk serving Program participants; access to block trading (which provides the ability to aggregate securities transactions for execution and then allocate the appropriate shares to Client accounts); the ability to have advisory fees deducted directly from Client accounts; access to an electronic communications network for Client order entry and account information; access to mutual funds with no transaction fees and to certain institutional money managers; and discounts on compliance, marketing, research, technology, and practice management products or services provided to NovaPoint by third party vendors. Schwab may also pay for business consulting and professional services received by NovaPoint’s related persons. These services are considered soft dollar arrangements.

Some of the products and services made available by Schwab and TDA through the Programs may benefit NovaPoint but may not directly benefit its Client accounts. These products or services may assist NovaPoint in managing and administering Client accounts, including accounts not maintained at Schwab. Other services made available by Schwab are intended to help NovaPoint manage and further develop its business enterprise. The benefits received by NovaPoint or its personnel through participation in the Program do not depend on the amount of brokerage transactions directed to Schwab or TDA. As part of its fiduciary duties to Clients, NovaPoint endeavors at all times to put the interests of its Clients first. Clients should be aware, however, that the receipt of economic benefits by NovaPoint or its related persons in and of itself creates a potential conflict of interest and may indirectly influence NovaPoint's choice of Schwab for custody and brokerage services.

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**Directed Brokerage:**

Clients may direct NovaPoint to use a particular broker for custodial or transaction services on behalf of the Client's portfolio. In directed brokerage arrangements, the Client is responsible for negotiating the commission rates and other fees to be paid to the broker. Accordingly, a Client who directs brokerage should consider whether such designation may result in certain costs or disadvantages to the Client, either because the Client may pay higher commissions or obtain less favorable execution, or the designation limits the investment options available to the Client.

The arrangement that NovaPoint has with Schwab and TDA is designed to maximize efficiency and to be cost effective. By directing brokerage arrangements, the Client acknowledges that these economies of scale and levels of efficiency are generally compromised when alternative brokers are used. While every effort is made to treat Clients fairly over time, the fact that a Client chooses to use the brokerage and/or custodial services of these alternative service providers may in fact result in a certain degree of delay in executing trades for their account(s) and otherwise adversely affect management of their account(s).

By directing NovaPoint to use a specific broker or dealer, Clients who are subject to ERISA confirm and agree with NovaPoint that they have the authority to make the direction, that there are no provisions in any Client or plan document which are inconsistent with the direction, that the brokerage and other goods and services provided by the broker or dealer through the brokerage transactions are provided solely to and for the benefit of the Client's plan, plan participants and their beneficiaries, that the amount paid for the brokerage and other services have been determined by the Client and the plan to be reasonable, that any expenses paid by the broker on behalf of the plan are expenses that the plan would otherwise be obligated to pay, and that the specific broker or dealer is not a party in interest of the Client or the plan as defined under applicable ERISA regulations.

**Order Aggregation:**

NovaPoint may enter trades as a block where possible and when advantageous to Clients whose accounts have a need to buy or sell shares of the same security. This blocking of trades permits the trading of aggregate blocks of securities composed of assets from multiple Client accounts, so long as transaction costs are shared equally and on a pro-rata basis between all accounts included in any such block. Block trading allows NovaPoint to execute equity trades in a timelier, equitable manner, and may reduce overall costs to Clients.

NovaPoint will only aggregate transactions when it believes that aggregation is consistent with its duty to seek best execution (which includes the duty to seek best price) for its Clients, and is consistent with the terms of NovaPoint's Investment Advisory Agreement with each Client for which trades are being aggregated. No advisory Client will be favored over any other Client; each Client that participates in an aggregated order will participate at the average share price for all NovaPoint's transactions in a given security on a given business day, with transaction costs generally shared pro-rata based on each Client's participation in the transaction. On occasion, owing to the size of a particular account's pro rata share of an order or other factors, the commission or transaction fee charged could be above or below a breakpoint in a pre-determined commission or fee schedule set by the executing broker, and therefore transaction charges may vary slightly among accounts. Accounts may be excluded from a block due to tax considerations, Client direction or other factors making the account's participation ineligible or impractical.

NovaPoint will prepare, before entering an aggregated order, a pre-allocation worksheet specifying the participating Client accounts and how it intends to allocate the order among those Clients. If the aggregated order is filled in its entirety, it will be allocated among Clients in accordance with the worksheet. If the order is partially filled, it will generally be allocated on a random basis among the participating accounts. Notwithstanding the foregoing, the order may be allocated on a basis different from that specified in the worksheet if all Client accounts receive fair and equitable treatment, and the reason for different allocation is explained in writing and is approved by an appropriate individual/officer of NovaPoint. NovaPoint's books and records will separately reflect, for each Client account included in a block trade, the securities held by and bought and sold for that account. NovaPoint will receive no additional compensation or remuneration of any kind as a result of the proposed aggregation.

**Item 13 – Review of Accounts**

All stocks and funds held in Client accounts, or being tracked as potential investments, are priced daily using an on-line pricing service. These stocks and funds are also monitored on a daily basis for significant price changes, or for any new information which might affect the future outlook.

Account reviews are performed at a minimum of quarterly by advisers Alan Conner, President and Joseph Sroka, Chief Investment Officer. Account reviews are performed more frequently when market conditions dictate. Account reviewers are members of the firm's Investment Committee. They are instructed to consider the Client's current security positions and the likelihood that the performance of each security will contribute to the investment objectives of the Client.

Other conditions that may trigger a review are changes in the tax laws, new investment information, and changes in a Client's own financial situation.

Clients receive periodic communications on at least an annual basis. All Clients receive a quarterly report of their portfolio.

#### **Item 14 – Client Referrals and Other Compensation**

NovaPoint Capital LLC does compensate referring parties for these referrals, provided there is a solicitation agreement in place, and the client has properly executed a Solicitation Disclosure.

NovaPoint Capital LLC does not accept referral fees or any form of remuneration from other professionals when a prospect or Client is referred to them.

NovaPoint Capital LLC receives no other compensation.

#### **Item 15 – Custody**

NovaPoint does not have physical custody of Clients' funds and/or securities, although the Georgia Securities Division takes the position that an investment adviser who directly deducts fees from Clients' accounts is deemed to have custody of Client assets solely as a consequence of the investment adviser's authority to make withdrawals from the Client's account to pay its advisory fees. Although an investment adviser has custody, the investment adviser is not required to comply with the surprise examination requirement set forth in Georgia Rule § 590-4-4-.20, if the investment adviser (a) has written authorization from the Client to deduct advisory fees from the account held with the qualified custodian, and (b) the investment adviser notifies the Commissioner in writing on Form ADV that the investment adviser intends to use the safeguards provided above.

Clients' funds and/or securities will be held with a bank, broker-dealer, or other independent, qualified custodian who will provide account statements directly to Clients at their address of record at least quarterly. Clients are encouraged to carefully review the statements provided by

their custodians and compare them to the reports provided by NovaPoint. Clients are also asked to promptly notify NovaPoint if the custodian fails to provide statements on each account held.

#### **Item 16 – Investment Discretion**

As described above under Item 4 - Advisory Business, NovaPoint manages portfolios on a discretionary basis. This means that after an investment plan is developed for the Client's investment portfolio, NovaPoint will execute that plan without specific consent from the Client for each transaction. For discretionary accounts, a Limited Power of Attorney ("LPOA") is executed by the Client, giving NovaPoint the authority to carry out various activities in the account, generally including the following: trade execution; the ability to request checks on behalf of the Client; and the withdrawal of advisory fees directly from the account. NovaPoint then directs investment of the Client's portfolio using its discretionary authority. The Client may limit the terms of the LPOA to the extent consistent with the Client's investment advisory agreement with NovaPoint and the requirements of the Client's custodian.

The discretionary relationship is further described in the agreement between NovaPoint and the Client.

#### **Item 17 – Voting Client Securities**

NovaPoint Capital LLC does not vote proxies on behalf of the Clients. Clients receive their proxies or other solicitations directly from their custodian or a transfer agent. Clients are free to contact NovaPoint via telephone, e-mail or in writing with any questions about a particular solicitation.

#### **Item 18 – Financial Information**

NovaPoint Capital LLC does not require or solicit prepayment of fees and therefore has no disclosure required for this item.

#### **Item 19 – Requirements of State-Registered Advisers**

As the principals and management of NovaPoint Capital LLC, Alan J. Conner and Joseph M. Sroka's background information is provided elsewhere in this Form ADV. Other than this, no disclosure is required under this item.

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Joseph M. Sroka, CFA, CMT  
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404-45-7885 Phone  
February 28, 2017  
CRD# 2281069

Additional information is available at: <http://brokercheck.finra.org/search>

**This Brochure Supplement provides information about Joseph Sroka that supplements the NovaPoint Capital LLC Brochure. You should have received a copy of that Brochure. Please contact NovaPoint Capital LLC at 404-445-7885 or [www.novapointcapital.com](http://www.novapointcapital.com) if you did not receive the firm's Brochure or if you have any questions about the contents of this supplement.**



## Item 2- Educational Background and Business Experience

### Joseph M. Sroka

#### Educational Background:

Date of birth: 1965

- The University of Chicago Booth School of Business – MBA 1997
- United States Military Academy – Bachelor of Science 1988

Business Experience:

- June 2015 - Current – Chief Investment Officer / Portfolio Manager, NovaPoint Capital LLC
- August 2011 – Current - Investor and Consultant, The Algonquin Company LLC
- April 2014 – June 2015 – Senior Portfolio Manager, Spectrum Advisory Services, Inc.
- March 2008 – September 2011 - Portfolio Manager & Analyst, GMT Capital Corp
- June 2007 – January 2008 – Senior Analyst, Newland Capital Management
- July 2005 – February 2007 – Managing Director, Epoch Investment Partners, Inc.
- March 2004 – July 2005 – Investment Manager, Ironbound Capital, LP
- July 1999 – February 2004 – Director, Merrill Lynch & Co
- April 1997 – May 1999 – Vice President, ABN Amro
- September 1992 – August 1995 – Financial Consultant, Merrill Lynch & Co.
- May 1988 – June 1992 – Captain, United States Army

Industry Certifications:

- Chartered Financial Analyst (CFA) - The Chartered Financial Analyst® (“CFA”) designation is a professional designation given by the CFA Institute that measures the competence and integrity of financial analysts. The CFA® Program is a graduate-level self-study program that combines a broad-based curriculum of investment principles with professional conduct requirements. Candidates are required to pass three levels of examinations covering areas such as accounting, economics, ethics, money management and security analysis. Before a candidate is eligible to become a CFA charterholder, he/she must meet minimum experience requirements in the area of investment/financial practice. To enroll in the program, a candidate must hold a bachelor’s degree.

- Chartered Market Technician (CMT) – The Chartered Market Technician (CMT) is a professional designation that confirms proficiency in technical analysis of the financial markets. To hold the designation, membership in the Market Technicians Association is required. The CMT designation requires completion of an education program and examination series in technical analysis. The Market Technicians Association (MTA) oversees the program curriculum and administration of exams. Candidates who pass all three examination levels of the program can earn the Chartered Market Technician designation, which certifies that the individual is competent in technical analysis.

### **Item 3- Disciplinary Information**

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No information is applicable to this Item.

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

No information is applicable to this Item.

### **Item 5- Additional Compensation**

No information is applicable to this item.

### **Item 6- Supervision**

Alan Conner, President and Chief Compliance Officer of NovaPoint Capital LLC and Joseph Sroka, Chief Investment Officer of NovaPoint Capital LLC are both responsible for monitoring the advisory activities of each other. Alan Conner can be contacted at 404-445-7885. All advisory activities of the portfolio managers are monitored by review of the daily trading activity, performance returns, analytical reports and Client investment guidelines. Mr. Conner and Mr. Sroka communicate daily to discuss portfolios and investment strategies and to assess the short-term and long-term outlook of the markets.

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

State Registered investment advisers are required to disclose if a supervised person has been found liable in an arbitration claim alleging damages in excess of \$2,500 or civil, self-regulatory organization or administrative proceeding. No information is applicable to this Item.

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Additional information is available at: <http://brokercheck.finra.org/search>

**This Brochure Supplement provides information about Alan J. Conner that supplements the NovaPoint Capital LLC Brochure. You should have received a copy of that Brochure. Please contact NovaPoint Capital LLC at 404-445-7885 if you did not receive the firm's Brochure or if you have any questions about the contents of this supplement.**

## Item 2- Educational Background and Business Experience

### Alan J. Conner

#### Educational Background:

Date of birth: 1969

- Nova Southeastern University – MBA 2006
- Nova Southeastern University – Bachelor of Science 2001

Business Experience:

- June 2015 - Current – President / Portfolio Manager, NovaPoint Capital LLC
- December 2010 – Current – President/Founder, My Professional CFO, LLC
- October 2004 – June 2015 - Fixed Income Portfolio Manager, Spectrum Advisory Services, Inc.
- November 2001 - October 2004 – Owner/Portfolio Manager, Arduus Asset Management, LLC
- May 2000 - November 2001 - Institutional Sales Director, Countrywide Capital Markets
- February 1999 - May 2000 - Asset/Liability Analyst, Orosey & Pepe Capital Markets
- January 1992 - February 1999 - Managing Associate, Thos. K. Wasserman & Associates, Inc.

Registrations: Series 65 – Investment Adviser Representative

Industry Certifications:

- Certified Plan Fiduciary Advisor (CPFA) - The Certified Plan Fiduciary Advisor® (“CPFA”) designation is a professional designation given by the National Association of Plan Advisors demonstrating the expertise required to act as a plan fiduciary or help plan fiduciaries manage their roles and responsibilities. The CPFA® Program is a self-study program in which candidates are required to pass a proctored examination covering areas such as ERISA Fiduciary Management, ERISA Plan Management and ERISA Investment Management. Credential holders are also required to complete 20 hours of continuing education annually.

### **Item 3- Disciplinary Information**

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of each supervised person providing investment advice. No information is applicable to this Item.

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

No information is applicable to this Item.

### **Item 5- Additional Compensation**

No information is applicable to this item.

### **Item 6- Supervision**

Alan Conner, President and Chief Compliance Officer of NovaPoint Capital LLC and Joseph Sroka, Chief Investment Officer of NovaPoint Capital LLC are both responsible for monitoring the advisory activities of each other. Alan Conner can be contacted at 404-445-7885. All advisory activities of the portfolio managers are monitored by review of the daily trading activity, performance returns, analytical reports and Client investment guidelines. Mr. Conner and Mr. Sroka communicate daily to discuss portfolios and investment strategies and to assess the short-term and long-term outlook of the markets.

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

State Registered investment advisers are required to disclose if a supervised person has been found liable in an arbitration claim alleging damages in excess of \$2,500 or civil, self-regulatory organization or administrative proceeding. No information is applicable to this Item.