



*Plan. Perform. Prosper.*

**Caleb Levi Smith**

**CRD#5728866**

New Wave Wealth Advisors LLC

IARD# 323414

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**Form ADV Part 2B  
Firm Brochure  
Supplement**

**September 18, 2024**

This Brochure Supplement provides information for Caleb Levi Smith that supplements the New Wave Wealth Advisors LLC brochure. You should have received a copy of that brochure. Please contact us at (479) 877-2525 or [hannah.stanley@newwavewealthadvisors.com](mailto:hannah.stanley@newwavewealthadvisors.com) if you did not receive NWWA's Brochure or if you have any questions about the contents of this supplement.

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

**ITEM 2**

## Educational Background and Business Experience

Caleb Levi Smith, born in 1983, graduated from University of Central Arkansas in August 2007 with a Bachelor of Arts. Caleb Smith's employment information is listed below.

Senior Client Advisor  
New Wave Wealth Advisors

April 2024 - Present

Registered Representative  
DMK Advisor Group

June 2024 - Present

Senior Client Advisor  
Arvest Wealth Management

June 2013 - April 2024

Client Advisor Assistant  
Arvest Wealth Management

March 2009 - May 2013

**ITEM 3**

## Disciplinary Information

Caleb Smith has not been and/or is presently not involved in any disciplinary, legal, or regulatory events that would be material to a client's evaluation of him or of NWWA.

**ITEM 4**

## Other Business Activities

Caleb Smith is also an insurance agent licensed to sell insurance products. A conflict of interest exists because these services pay a commission, which conflicts with the IAR's fiduciary duties. NWWA does not require its IARs to encourage clients to implement investment advice through our insurance product recommendations. Clients have the right to implement insurance product recommendations through the insurance agency and agent of their choice. We require that all IARs disclose this conflict of interest when such recommendations are made. We also require IARs to disclose that the client has the right to purchase recommended products from individuals not affiliated with us.

Caleb Smith is a registered representative licensed to sell securities. As a registered representative of an unaffiliated broker-dealer, Caleb Smith spends 5% of his time in this role. Caleb Smith may earn additional compensation in the form of commissions for the sale of general securities products such as stocks, bonds, mutual funds, exchange-traded funds, and a variable annuity to investment advisory clients. As such, Caleb Smith may suggest that you implement investment advice by purchasing securities products through a commission-based account introduced through our unaffiliated broker-dealer in addition to an investment advisory account. In the event that you elect to purchase these products through our unaffiliated broker-dealer, Caleb Smith, in the capacity as a registered representative, our unaffiliated broker-dealer will receive the standard and customary commission compensation in connection with the particular product purchased. Clients have the right to implement the recommendations through the broker-dealer and registered representative of their choice. We require that all IARs disclose this conflict of interest when such recommendations are made. We also require IARs to disclose that the client has the right to purchase recommended products from individuals not affiliated with us.

Caleb Smith owns Shamrock Wealth Management, LLC (100%) since 4/2024 – it is a holding company for him to receive compensation from New Wave Wealth Advisors, LLC. No other compensation, 4 hours per month, 0 hours during trading hours.

**ITEM 5**

## **Additional Compensation**

Caleb Smith does not receive any additional compensation.

**ITEM 6**

## **Supervision**

Hannah Stanley, Owner and Chief Compliance Officer of NWWA, is responsible for supervising the investment advisory activities of the investment adviser representatives. Hannah Stanley monitors and reviews all forms of written communications that the investment adviser representatives provide to clients. Hannah Stanley can be contacted via telephone at (479) 877-2525 and via email at [hannah.stanley@newwavewealthadvisors.com](mailto:hannah.stanley@newwavewealthadvisors.com).

**ITEM 7**

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

- A. Caleb Smith has not been involved in an award or found liable in any arbitration claim or in any civil, self-regulatory organization, or administrative proceedings.
- B. Caleb Smith has not been the subject of a bankruptcy petition.