# **Dorsey Groomes Wealth Management, LLC**

220 W Bridge St, Suite 117 Dublin, OH 43017 Phone: (614) 300-0549

Email: nduckett@dorseygroomeswm.com

# Norma Duckett

Chief Compliance Officer

Individual CRD No. 3264696

Form ADV Part 2B - Brochure Supplement

Effective: October 1, 2025

This Form ADV Part 2B ("Brochure Supplement") provides information about the background and qualifications of Norma Duckett as a supplement to the information contained in Dorsey Groomes Wealth Management, LLC's (referred to as "we," "our," "us," "Firm," "Advisor," or "DGWM") Form ADV Part 2A Disclosure Brochure. You should have received a copy of that Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the firms' Disclosure Brochure or this Brochure Supplement, please contact Dorsey Groomes Wealth Management, LLC at (614) 300-0549.

Additional information about Ms. Duckett is available on the SEC's Investment Adviser Public Disclosure website at <a href="www.adviserinfo.sec.gov">www.adviserinfo.sec.gov</a>. The site is searchable by a unique identifying number known as a CRD number. Ms. Duckett's CRD number is 3264696.

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

#### EDUCATIONAL BACKGROUND

Norma Duckett, born in 1971, is dedicated to advising clients of Dorsey Groomes Wealth Management, LLC as Financial Advisor and Chief Compliance Officer. Ms. Duckett earned her Bachelor of Science degree in criminal justice from Wilmington University and her master's degree in management from The American College of Financial Services in 2019. Additional information regarding Ms. Duckett's business background is included below.

### **BUSINESS BACKGROUND**

10/2024 - Present	Dorsey Groomes Wealth Management, LLC	Financial Advisor, Chief Compliance Officer
07/2024 - Present	Dorsey Groomes Creative, LLC	Owner, President
03/2024 - 07/2024	N/A	Unemployed
01/2024 - 03/2024	Janney Montgomery Scott, LLC	Complex Director
05/2021 - 01/2024	Janney Montgomery Scott, LLC	Complex Director, Branch Manager
08/2008 - 05/2021	Nationwide Securities, Inc.	Compliance Officer (Mass Transfer)
08/2004 - 05/2021	NSI "Nationwide"	Compliance Officer

## **Item 3: Disciplinary Information**

There are no legal, civil, or disciplinary events to disclose regarding Ms. Duckett. Ms. Duckett has never been involved in any investment related regulatory, civil, or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Ms. Duckett.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair, or unethical practices. As previously noted, there are no legal, civil or disciplinary events to disclose regarding Ms. Duckett.

However, we do encourage you to independently view the background of Ms. Duckett on the Investment Adviser Public Disclosure website at <a href="www.adviserinfo.sec.gov">www.adviserinfo.sec.gov</a> by searching with her full name or her Individual CRD No. 3264696.

#### **Item 4: Other Business Activities**

Norma Duckett is an independent licensed insurance agent and sometimes will offer clients advice or products from those activities. Clients should be aware that these services pay a commission or other compensation and involve a conflict of interest, as commissionable products conflict with the fiduciary duties of a registered investment advisor. Any commissions received through the sales of insurance policies do not offset advisory fees the client may pay for advisory services provided by Dorsey Groomes Wealth Management, LLC. Clients are not required to purchase insurance products from Ms. Duckett and may seek similar services elsewhere.

Norma Duckett is currently the owner Dorsey Groomes Creative, LLC, through which she provides marketing services. Ms. Duckett may engage in these services through which she will receive additional compensation. Any compensation received for marketing services through Dorsey Groomes Creative, LLC do not offset advisory fees the client may pay for advisory services provided by Dorsey Groomes Clients are not required to engage Ms. Duckett for marketing services and may seek similar services elsewhere. This is a non-investment related activity and accounts for approximately 8 hours of Ms. Duckett's time per month.

# **Item 5: Additional Compensation**

Norma Duckett does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through Dorsey Groomes Wealth Management, LLC. However, Ms. Duckett may receive additional compensation from insurance products sold as an insurance agent. Ms. Duckett also received additional compensation for marketing services offered as owner of Dorsey Groomes Creative, LLC.

### **Item 6: Supervision**

Supervision of Ms. Duckett is performed by herself in her capacity as Chief Compliance Officer of Dorsey Groomes Wealth Management, LLC. DGWM has implemented a policies and procedures manual and Code of Ethics which guides the Firm and its supervised persons in meeting their fiduciary obligations to the firms' clients when providing investment advisory services. As DGWM's Chief Compliance Officer, Ms. Duckett is responsible for the implementation of the Firm's policies and procedures and Code of Ethics. Ms. Duckett may be contacted at (614) 300-0549 for more information about this Brochure Supplement.

Additionally, DGWM is subject to regulatory oversight by various agencies. These agencies require registration by the firm and its supervised persons. As a registered entity, DGWM is subject to examinations by regulators, which can be announced or unannounced. The firm is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Firm.

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

Ms. Duckett has not been involved in an arbitration, bankruptcy petition, or a civil, self-regulatory organization, or administrative proceeding.