

## Brochure Supplement

This Brochure Supplement [Form ADV Part 2B] provides additional information about the qualifications and experience of the Investment Advisor Representatives (“IAR”s or “Supervised Persons”) of ICW Investment Advisors LLC (“ICW” or “Firm”) listed below. ICW does business under its trade name Intelligent Capitalworks.

**Charles Rossi, CFA, CFP®, ChFC®, CPWA®, CIMA®, CTFA, AEP®, CAP®, AIF®**

**Jennifer Rossi, ChFC®**

**Michael Rossi, CFA, CFP®, ChFC®, CIMA®, CTFA, AIF®**

**Vincent Rossi, CFP®, CIMA®, AEP®, CAP®, CLU®, AIF®**

This Brochure Supplement [Form ADV Part 2B] is a supplemental disclosure document to our Disclosure Brochure [Form ADV Part 2A] and our Client Relationship Summary [Form CRS or Form ADV Part 3].

This Brochure Supplement must be delivered to you before or at the time a Supervised Person begins providing advisory services to you or upon any update that amends information to Item 3 (disciplinary information) of this Brochure Supplement. Please contact Jillian Carlson, Chief Compliance Officer at 480-951-2900 or [jillian.carlson@icwia.com](mailto:jillian.carlson@icwia.com) if you have any questions about the contents of this Brochure Supplement or to request a copy of our Disclosure Brochure or Client Relationship Summary.

ICW Investment Advisors LLC is a Registered Investment Adviser pursuant to the Investment Advisers Act of 1940 and is registered with the U.S. Securities and Exchange Commission (“SEC”). The Firm is notice-filed in states where it is required to do so.

As a Registered Investment Adviser, the Firm completes Part 1 of Form ADV, which contains additional information about its business. This information and additional information about the Supervised Persons listed in this Brochure Supplement is publicly available through the Firm’s filings with the SEC at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You may also obtain additional information about Intelligent Capitalworks at our business website [www.intelligentcapitalworks.com](http://www.intelligentcapitalworks.com).

Registration of an Investment Adviser does not imply any level of skill or training. The information in this Brochure Supplement has not been approved or verified by the SEC or by any state securities authority.

The information in this Brochure Supplement is current as of the date above and is subject to change when it becomes materially inaccurate. A copy of the most current Brochure Supplement is also available on the Intelligent Capitalworks website [www.intelligentcapitalworks.com](http://www.intelligentcapitalworks.com).

The oral and written communications of an Adviser provide you with information which you would use to determine whether to hire or retain an Adviser.

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### **Editorial Notes:**

References in this Brochure Supplement to “you,” “your,” “they,” “them” and “their” refer to the client. References to “ICW,” “Firm,” “its,” “we,” “us” and “our” refer to ICW Investment Advisors LLC.

This document uses the terms “adviser” and “advisor.” The term “adviser” is in reference to the term “investment adviser” defined by the Investment Adviser Act of 1940. The term advisor, as used throughout this Brochure Supplement, refers to a professional who provides investment advice.

## Item 2 – Education and Business Experience



### **Charles Rossi**

**CFA, CFP®, ChFC®, CPWA®, CIMA®, CTFA, AEP®, CAP®, AIF®**

**Chief Client Wealth Officer**

**Managing Director**

**Portfolio Manager**

**Shareholder**

- Master of Taxation and Data Analysis, Arizona State University, 2023
- Master of Investment Management and Financial Analysis, Creighton University, 2021
- Postgraduate Diploma in Financial Planning, NYU School of Professional Studies, 2019
- Bachelor of Science in Finance, Arizona State University, 2018

During his career, Charles has also completed studies at the following institutions:

- The American College of Financial Services, Richard D. Irwin Graduate School, 2025
- Harvard University Kennedy School, Investment Decisions and Behavioral Finance, 2024
- Yale School of Management, Investment Management Consulting, 2024
- University of Chicago Booth School of Business, Wealth Management, 2024
- Cannon Financial Institute
  - Trust School I at Pepperdine University, 2019
  - Trust School II at University of Notre Dame, 2019
  - Trust School III at Boston University Law School, 2019
- The London School of Economics and Political Science, Business Valuation and Security Analysis, 2016
- The London Business School, Equity Investment Management Program, 2015
- University of Leeds, Mathematics in Applied Finance, 2015
- Metropolitan State University of Denver, Personal Financial Planning Certificate Program, 2015

Charles Rossi, born in 1995, joined the firm in 2014. As a Chief Client Wealth Officer, he serves on the Firm's Operating and Risk Committees and is responsible for delivering the Firm's services to clients. As a Portfolio Manager, he serves on the Investment Management Committee and is responsible for client investment guidelines, co-managing the Firm's equity research, investment portfolio construction, securities trading and investment performance reporting. He co-manages all client wealth management plans.

Charles Rossi passed the Uniform Investment Adviser Law Examination in 2016, is Series 65 licensed and has completed the NRS Investment Adviser Core Compliance Program.

During his career, Charles has earned the following professional certifications and designations: (see Appendix A for the minimum qualifications required for each certification and designation)

CFA®	Chartered Financial Analyst®, 2025
AEP®	Accredited Estate Planner®, 2025
CAP®	Chartered Advisor in Philanthropy®, 2025
CPWA®	Certified Private Wealth Advisor®, 2024
CIMA®	Certified Investment Management Analyst®, 2024
ChFC®	Chartered Financial Consultant®, 2024
CTFA	Certified Trust and Fiduciary Advisor, 2019
AIF®	Accredited Investment Fiduciary®, 2019
CFP®	Certified Financial Planner®, 2019

### **Item 3 – Disciplinary Information**

Charles Rossi does not have any reportable disciplinary or legal events.

### **Item 4 – Other Business Activities**

Charles Rossi serves on the Board of Directors for Help in Healing Home, a 501(c)(3) non-profit organization located at the Mayo Clinic Phoenix that provides extended stay residences at the Village at Mayo Clinic in Phoenix for out-of-area patients receiving extended treatments for cancer and complex organ transplant surgeries. Charles receives no compensation for his services as a board member.

### **Item 5 – Additional Compensation**

Charles Rossi is not affiliated with any securities brokerage firm or securities dealer and does not have any other financial industry affiliations. He does not receive commissions, bonuses or other third-party compensation based on client solicitations or referrals, new accounts or on the sale of securities or other investment or insurance and annuity products.

### **Item 6 – Supervision**

Intelligent Capitalworks has a Compliance Program that includes written compliance policies and procedures that are reasonably designed to detect, prevent and correct violations of securities laws, rules and regulations. All Supervised Persons are required to adhere to our compliance policies and procedures in the performance of their activities and responsibilities to us and you.

Jillian Carlson, MBA, IACCP<sup>®</sup>, AIF<sup>®</sup> is the Chief Compliance Officer and is responsible for administering the Firm's Compliance Program and supervising and monitoring the advisory services and discretionary trading activities of the Firm's Supervised Persons with regular reviews. If you have any questions or concerns about your account, she can be reached at 480-951-2900.

Charles Rossi is supervised by: Jillian Carlson, Chief Compliance Officer

See pages 10-12 for a description of professional charters, certifications and accreditations.

## Item 2 – Education and Business Experience



**Jennifer Rossi**  
**ChFC®**  
**Chief Operating Officer**  
**Managing Director**  
**Shareholder**

- Bachelor of Science in Business Administration, University of Phoenix, 2000.

Jennifer Rossi, born in 1972, joined the firm in 2005. As Chief operating Officer, she serves on the Firm's Operating and Risk Committees and is responsible for delivering the Firm's services to clients.

During her career, Jennifer has earned the following professional certifications and designations: (see Appendix A for the minimum qualifications required for each certification and designation)

ChFC® Chartered Financial Consultant®, 2024

Jennifer Rossi is Series 65 licensed and has completed the NRS Investment Adviser Core Compliance Program.

## Item 3 – Disciplinary Information

Jennifer Rossi does not have any reportable disciplinary or legal events.

## Item 4 – Other Business Activities

Jennifer Rossi serves as Chairperson for the Intelligent Capitalworks Foundation, a 501(c)(3) non-profit organization. Jennifer receives no compensation for her services as Chairperson.

## Item 5 – Additional Compensation

Jennifer Rossi is not affiliated with any securities brokerage firm or securities dealer and does not have any other financial industry affiliations. She does not receive commissions, bonuses or other third-party compensation based on client solicitations or referrals, new accounts or on the sale of securities or other investment or insurance and annuity products.

## Item 6 – Supervision

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Jillian Carlson, MBA, IACCP®, AIF® is the Chief Compliance Officer and is responsible for administering the Firm's Compliance Program and supervising and monitoring the advisory services and discretionary trading activities of the Firm's Supervised Persons with regular reviews. If you have any questions or concerns about your account, she can be reached at 480-951-2900.

Jennifer Rossi is supervised by: Jillian Carlson, Chief Compliance Officer

See pages 10-12 for a description of professional charters, certifications and accreditations.

## Item 2 – Education and Business Experience



### **Michael Rossi**

**CFA, CFP®, ChFC®, CIMA®, CTFA, AIF®**

**Chief Client Wealth Officer**

**Managing Director**

**Portfolio Manager**

**Shareholder**

- Estate Planning Certificate, Charles Widger School of Law, Villanova University, 2025
- Master of Taxation, Charles Widger School of Law, Villanova University, 2025
- Master of Investment Management and Financial Analysis, Creighton University, 2023
- Postgraduate Diploma in Financial Planning, NYU School of Professional Studies, 2021
- Bachelor of Science in Chemical Engineering, Brigham Young University, 2021

During his undergraduate studies, Michael also lived in Seoul, Korea for two years and became fluent in Korean.

During his career, Michael has also completed studies at the following institutions:

- Yale School of Management, Investment Management Consulting, 2025
- Harvard University Kennedy School, Investment Decisions and Behavioral Finance, 2024
- Cannon Financial Institute
  - Trust School I, 2024
  - Trust School II, 2024
  - Trust School III, 2024
- Kinder Institute of Life Planning, 2024

Michael Rossi, born in 1995, joined the firm in 2021. As a Chief Client Wealth Officer, he serves on the Firm's Operating and Risk Committees and is responsible for delivering the Firm's services to clients. As a Portfolio Manager, he serves on the Investment Management Committee and is responsible for client investment guidelines, co-managing the Firm's equity research, investment portfolio construction, securities trading and investment performance reporting. He co-manages all client wealth management plans.

Michael Rossi passed the Uniform Investment Adviser Law Examination in 2021, is Series 65 licensed and has completed the NRS Investment Adviser Core Compliance Program.

During his career, Michael has earned the following professional certifications and designations: (see Appendix A for the minimum qualifications required for each certification and designation)

CIMA®	Certified Investment Management Analyst®, 2025
CFA®	Chartered Financial Analyst®, 2024
ChFC®	Chartered Financial Consultant®, 2024
CTFA	Certified Trust and Fiduciary Advisor, 2024
AIF®	Accredited Investment Fiduciary®, 2024
CFP®	Certified Financial Planner®, 2023

### **Item 3 – Disciplinary Information**

Michael Rossi does not have any reportable disciplinary or legal events.

### **Item 4 – Other Business Activities**

Michael Rossi serves on the Board of Directors for Ronald McDonald House Charities<sup>®</sup> – Central and Northern Arizona, a 501(c)(3) non-profit organization that provides out-of-area patients a “home-away-from-home” at the Roanoke and Cambridge Ronald McDonald Houses in Phoenix, Arizona, and the Dobson Ronald McDonald House in Mesa, Arizona, for families traveling to the Valley for medical care for their children. Ronald McDonald House Charities<sup>®</sup> – Central and Northern Arizona helps keep families with sick children close to each other and the care and resources they need. Michael receives no compensation for his services as a board member.

### **Item 5 – Additional Compensation**

Michael Rossi is not affiliated with any securities brokerage firm or securities dealer and does not have any other financial industry affiliations. He does not receive commissions, bonuses or other third-party compensation based on client solicitations or referrals, new accounts or on the sale of securities or other investment or insurance and annuity products.

### **Item 6 – Supervision**

Intelligent Capitalworks has a Compliance Program that includes written compliance policies and procedures that are reasonably designed to detect, prevent and correct violations of securities laws, rules and regulations. All Supervised Persons are required to adhere to our compliance policies and procedures in the performance of their activities and responsibilities to us and you.

Jillian Carlson, MBA, IACCP<sup>®</sup>, AIF<sup>®</sup> is the Chief Compliance Officer and is responsible for administering the Firm’s Compliance Program and supervising and monitoring the advisory services and discretionary trading activities of the Firm’s Supervised Persons with regular reviews. If you have any questions or concerns about your account, she can be reached at 480-951-2900.

Michael Rossi is supervised by: Jillian Carlson, Chief Compliance Officer

See pages 10-12 for a description of professional charters, certifications and accreditations.

## Item 2 – Education and Business Experience



### **Vincent Rossi**

**CFP®, CIMA®, AEP®, CAP®, CLU®, AIF®**

**President**

**Executive Director**

**Chief Investment Officer**

**Shareholder**

- Master of Science in Financial Services, Richard D. Irwin Graduate School, American College, 2004
- Bachelor of Science in Business Administration, Northern Arizona University, 1980

During his career, Vincent has also studied advanced wealth management at the following institutions:

- Kinder Institute of Life Planning, 2007
- University of Miami School of Law, Heckerling Institute on Estate Planning, 2005
- Cannon Financial Institute, *honors graduate*
  - Trust School I at University of North Carolina, Charlotte, 2004
  - Trust School II at University of Notre Dame, 2004
  - Trust School III at Boston University Law School, 2004
- Michigan State University, Esperti-Peterson Institute, 2003
- Harvard University Kennedy School, Investment Decisions and Behavioral Finance, 2002
- University of Pittsburgh Katz Graduate School of Business, Center for Fiduciary Studies, 1999
- University of Pennsylvania Wharton School, Investment Management Consulting, 1995

Vincent Rossi, born in 1956, is the founder of the Firm and has been its principal owner, President and Chief Investment Officer since inception of the Firm in 2005. As President, he serves on the Firm's Operating and Risk Committees and is responsible for delivering the Firm's services to clients. As Chief Investment Officer, his primary role is investment research and portfolio management.

Vincent's career in the financial services industry has been distinguished by a broad foundation of knowledge and experience in the capital markets and wealth management. Prior to founding the Firm, he was a Senior Vice President at Morgan Stanley, where he served as a Wealth Advisor, Portfolio Manager and Trust Officer. He was also a Managing Director at Piper Jaffray, where he served as a Wealth Advisor and Portfolio Manager.

At both Morgan Stanley and Piper Jaffray, Vincent specialized in investment management, financial advice and family wealth management. He worked exclusively with a select number of client families, their related family members and their philanthropic organizations.

Prior to the development of his individual client practice, he served institutional clients, hedging and arbitraging U.S. government securities for a primary government securities dealer trading directly with the Federal Reserve System. He has also been an individual member of one of the world's largest financial exchanges, The International Monetary Market Division of the Chicago Mercantile Exchange, operating exclusively for his personal account.

From 1986 to 2000, Vincent wrote and taught personal wealth management classes for executive programs at Thunderbird School of Global Management, The University of Arizona Extended University, Northern Arizona University and the University of Phoenix. Vincent Rossi passed the Uniform Investment Adviser Law Examination in 1992, is Series 65 licensed and has completed the NRS Investment Adviser Core Compliance Program.

During his career, Vincent has earned the following professional certifications and designations:  
(see Appendix A for the minimum qualifications required for each certification and designation)

AIF <sup>®</sup>	Accredited Investment Fiduciary <sup>®</sup> , 2023
AIFA <sup>®</sup>	Accredited Investment Fiduciary Analyst <sup>®</sup> , 2005
CAP <sup>®</sup>	Chartered Advisor in Philanthropy <sup>®</sup> , 2004
CLU <sup>®</sup>	Chartered Life Underwriter <sup>®</sup> , 2004
AEP <sup>®</sup>	Accredited Estate Planner <sup>®</sup> , 2003
CTFA	Certified Trust and Fiduciary Advisor, 2003
CFP <sup>®</sup>	Certified Financial Planner <sup>®</sup> , 2003
CIMA <sup>®</sup>	Certified Investment Management Analyst <sup>®</sup> , 1995

Vincent passed the Level I exam of the CFA<sup>®</sup> program in 2004. He no longer maintains his CTFA or AIFA<sup>®</sup> designations.

### **Item 3 – Disciplinary Information**

Vincent Rossi does not have any material reportable disciplinary or legal events.

### **Item 4 – Other Business Activities**

Vincent Rossi serves on the Board of Directors for Help in Healing Home, a 501(c)(3) non-profit organization located at the Mayo Clinic Phoenix that provides extended stay residences at the Village at Mayo Clinic in Phoenix for out-of-area patients receiving extended treatments for cancer and complex organ transplant surgeries. Vincent receives no compensation for his services as a board member.

### **Item 5 – Additional Compensation**

Vincent Rossi is not affiliated with any securities brokerage firm or securities dealer and does not have any other financial industry affiliations. He does not receive commissions, bonuses or other third-party compensation based on client solicitations or referrals, new accounts or on the sale of securities or other investment or insurance and annuity products.

### **Item 6 – Supervision**

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Jillian Carlson, MBA, IACCP<sup>®</sup>, AIF<sup>®</sup> is the Chief Compliance Officer and is responsible for administering the Firm's Compliance Program and supervising and monitoring the advisory services and discretionary trading activities of the Firm's Supervised Persons with regular reviews. If you have any questions or concerns about your account, she can be reached at 480-951-2900.

Vincent Rossi is supervised by: Jillian Carlson, Chief Compliance Officer

See pages 10-12 for a description of professional charters, certifications and accreditations.

## **Appendix A – Professional Designation Qualifications**

Minimum qualifications to earn the following professional designations:

### **CFA® – Chartered Financial Analyst®**

- Bachelor's degree or higher, plus
- A passing score on the Level I examination, plus
- A passing score on the Level II examination, plus
- A passing score on the Level III examination, plus
- 4,000 hours of qualifying work experience, plus
- Professional references, plus
- Adhering to the CFA® Institute's Code of Ethics and Standards of Professional Conduct, plus
- Acceptance by the CFA® Institute, plus
- 20 hours of Professional Continuing Education encouraged every year, including ethics, plus
- Recertification annually.

### **CFP® – Certified Financial Planner®**

- Bachelor's degree or higher, plus
- 15 semester credit hours of upper division undergraduate or graduate classes, plus
- A passing score on the 10-hour, two-day CFP® Certification Examination (pre-11/2014), or
- A passing score on the 6-hour, one day CFP® Certification Examination, (post-11/2014), plus
- 6,000 hours of qualifying financial planning work experience, plus
- Adhering to the CFP® Board's Standards of Professional Conduct, plus
- Adhering to a Fiduciary Standard, plus
- Acceptance by the CFP® Board, plus
- 30 hours of Professional Continuing Education required every two years, including ethics, plus
- Recertification annually.

### **ChFC® – Chartered Financial Consultant®**

- Completion of the CFP® Certification Education Program, plus
- Additional coursework, plus
- 6,000 hours of qualifying work experience, plus
- Adhering to the American College Code of Ethics and Procedures, plus
- Acceptance by the American College of Financial Services, plus
- 30 hours of Professional Continuing Education required every two years, including ethics, plus
- Recertification bi-annually.

### **CPWA® – Certified Private Wealth Advisor®**

- Bachelor's degree or higher, or CFA®, CFP®, ChFC® or CIMA® certification or a CPA license, plus
- A passing score on the Qualifying Examination, plus
- Attending an Investments & Wealth Institute registered educational program, plus
- A passing score on the Certification Examination, plus
- 10,000 hours of qualifying financial services work experience, plus
- Adhering to the Investments & Wealth Institute's Code of Professional Responsibility, plus
- Acceptance by the Investments & Wealth Institute, plus
- 40 hours of Professional Continuing Education required every two years, including ethics and tax, plus
- Recertification bi-annually.

## **CIMA® – Certified Investment Management Analyst®**

- A passing score on the Qualifying Examination, plus
- Attending an Investments & Wealth Institute registered educational program, plus
- A passing score on the Certification Examination, plus
- 6,000 hours of qualifying financial services work experience, plus
- Adhering to the Investments & Wealth Institute's Code of Professional Responsibility, plus
- Acceptance by the Investments & Wealth Institute, plus
- 40 hours of Professional Continuing Education required every two years, including ethics and tax, plus
- Recertification bi-annually.

## **CLU® – Chartered Life Underwriter®**

- 24 semester credit hours of upper division undergraduate or graduate classes, plus
- 6,000 hours of qualifying insurance work experience, plus
- Adhering to the American College Code of Ethics and Procedures, plus
- Acceptance by the American College of Financial Services, plus
- 30 hours of Professional Continuing Education required every two years, including ethics, plus
- Recertification bi-annually.

## **AEP® – Accredited Estate Planner®**

- Currently a JD, CPA, CFP®, ChFC®, CLU® or CTFA, plus
- Presently and significantly engaged in estate planning activities, plus
- Completion of two graduate classes at the Richard D. Irwin Graduate School, plus
- 10,000 hours of estate planning work experience, plus
- Professional references, plus
- Acceptance by the National Association of Estate Planners & Councils, plus
- 30 hours of Professional Continuing Education required every two years, plus
- Recertification annually.

## **CAP® – Chartered Advisor in Philanthropy®**

- 9 semester credit hours of graduate level classes, plus
- 6,000 hours of qualifying philanthropic work experience, plus
- Adhering to the American College Code of Ethics and Procedures, plus
- Acceptance by the American College of Financial Services, plus
- 30 hours of Professional Continuing Education required every two years, including ethics, plus
- Recertification bi-annually.

## **CTFA – Certified Trust and Fiduciary Advisor**

- Bachelor's degree or higher, plus
- 10,000 hours of qualifying wealth management work experience, plus
- A passing score on the CTFA Certification Examination, plus
- Professional references, plus
- Adhering to the Institute of Certified Bankers Professional Code of Ethics, plus
- Acceptance by the Institute of Certified Bankers, plus
- 30 hours of Professional Continuing Education required every two years, plus
- Recertification annually.

### **AIFA® – Accredited Investment Fiduciary Analyst®**

- Bachelor's degree or higher and a professional credential, plus
- Completion of a minimum of 20 required hours of training courses, plus
- Completion of required capstone course, plus
- 16,000 hours of relevant work experience, plus
- A passing score on the AIFA® Assessment, plus
- Adhering to the Code of Ethics and Conduct Standards, plus
- Adhering to a Fiduciary Standard, plus
- 10 hours of Professional Continuing Education required annually, plus
- Recertification annually.

### **AIF® – Accredited Investment Fiduciary®**

- Bachelor's degree or higher and a professional credential, plus
- Completion of a minimum of 20 required hours of training courses, plus
- Completion of required capstone course, plus
- 4,000 hours of relevant work experience, plus
- A passing score on the AIF® Certification Examination, plus
- Adhering to the Code of Ethics and Conduct Standards, plus
- Adhering to a Fiduciary Standard, plus
- Six hours of Professional Continuing Education required annually, plus
- Recertification annually.

### **IACCP® – Investment Adviser Certified Compliance Professional®**

- Completion of 17 required regulatory compliance courses, plus
- Completion of three elective regulatory compliance courses, plus
- 4,000 hours of compliance work experience, plus
- Submission of an ethics commitment and assessment, plus
- A passing score on the IACCP® Certification Examination, plus
- 12 hours of Professional Continuing Education required annually, including ethics, plus
- Recertification annually.

### **NRS Investment Adviser Core Compliance Program Certificate**

- Completion of 10 regulatory compliance courses, plus
- Submission of Ethics commitment and assessment.

### **FINRA Series 65 Registration as an Investment Advisor Representative**

- A passing score on the FINRA Series 65 Uniform Investment Adviser Law examination, plus
- State requirements for Professional Continuing Education requirements.