

# Pride of the West Financial, LLC

## Form ADV 2

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

Alissa Sykes

CRD 6657225

Registration does not imply a certain level of skill or training.

Pride of the West Financial, LLC

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This brochure provides information about the qualifications and practices of Pride of the West Financial, LLC (“POTWF”).

If you have any questions about the contents of this brochure, please contact us at (307) 222-4915 or [alissa@prideofthewestfinancial.com](mailto:alissa@prideofthewestfinancial.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.

## **Item 2      Material Changes**

The address has been updated to 30 N. Gould St. Ste R. Sheridan, WY 82801. Fee schedule has also been updated (see “Fees and Compensation” section for information associated with fees).

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## **Item 4      Advisory Business**

### **A: About the Firm**

Pride of the West Financial, LLC (“POTWF,” “we,” “us,” “our”) is a comprehensive financial planning firm located in Sheridan, Wyoming. We offer financial planning services, investment advisory services, and budgeting assistance to individuals in Wyoming. POTWF opened in April, 2024 and the Company does not have any additional locations. Alissa Sykes founded Pride of the West Financial, LLC with the goal to provide open and honest financial advice to her clients. As the sole owner of POTWF, she wants her clients to have the freedom to define their financial goals.

### **B: Our Services**

#### *Financial Planning*

POTWF offers comprehensive financial planning services for its clients to help them achieve their dreams. Comprehensive financial planning includes retirement planning, education planning, portfolio analysis, estate and legacy planning, as well as budgeting and cash flow analysis. If a client does not want POTWF to trade in their account, this relationship will be a portfolio analysis relationship and not investment advisory relationship (see *Investment Advisory Services*). Exceptions may be made with approval from management.

#### *Investment Advisory Services*

POTWF offers investment advisory services for its clients with \$100,000 to invest or more. Exceptions may apply to the \$100,000 minimum at the Company’s discretion and with approval from management. Investment advisory services include a portfolio of stocks, bonds, and/or mutual funds which align with the client’s risk tolerance and goals. POTWF will have discretion to place trades for clients with stock, bond, mutual fund, and ETF investments.

#### *Budgeting Assistance*

POTWF offers budgeting assistance as needed to its clients. This service includes debt management and savings goals.

### **C: Individual Needs**

#### *Financial Planning*

We take the time to get to know our clients and their goals, risk tolerance, and financial situation. A cash flow analysis is done for every financial planning client to ensure their best interest is the prime focus.

### *Investment Advisory Services*

A risk profile will be completed on each client as well as goals and timeline will be considered. POTWF emphasizes a long-term investment approach and each investment will be analyzed every quarter. Fundamental and technical analysis will be used among other techniques. Portfolio reviews will be conducted with each client annually.

### *Budgeting Assistance*

A cashflow analysis will be completed for each client. Additionally, debt and expenses will be examined in depth.

### **D: Wrap Fee Program**

A wrap fee program is defined by the SEC as a program that, “generally involves an investment account where you are charged a single, bundled, or “wrap” fee for investment advice, brokerage services, administrative expenses, and other fees and expenses.” POTWF does not participate in wrap fee programs and clients may incur additional fees.

### **E: Assets Under Management (“AUM”)**

As of January 3, 2026, POTWF has \$46M in discretionary AUM and \$0 in non-discretionary AUM.

## **Item 5 Fees and Compensation**

### **A: Compensation and Fee Schedule**

Financial planning and budgeting assistance may be compensated as a “fee for service” or hourly fee depending at management’s discretion. If clients would like an ongoing relationship beyond a one-time service, there is an annual fee that may be paid monthly if the client would prefer. Investment advisory services will not be offered for “fee for service” or hourly to clients. Financial planning, if requested by the client, will be included as a complimentary service if investment advisory services are used.

Investment advisory services will be compensated as a percentage fee of assets under management, billed monthly or quarterly. The percentage fee will be determined by the amount of assets under management at the end of the month. Fees may be changed with approval from management. Additional services may be retained for an hourly rate based on the nature of the request. See *Other Fees*.

<b>Investment Advisory Services</b>	
\$0-\$500,000	1.25%
\$501,000-\$1,000,000	1.00%
\$1,000,001+	0.75%

<b>Fee for Service (Financial Planning Only)</b>	
Retirement, education, legacy, or goal planning; budgeting, and/or debt management	Dependant on request
Hourly Rate	\$150
Ongoing relationship and review of progress	\$240 annually

**B: How are Fees Deducted**

Fees may be deducted either directly from the client’s account or through billing. For clients with investment advisory services, clients will be billed based on an annual percentage fee for assets under management, billed monthly or quarterly. Clients who chose “fee for service” or hourly services will be required to pay at the time of service.

**C: Other Fees**

Clients may have internal fees from investments including but not limited to fees associated with mutual funds and ETFs. Brokerage fees and commissions may occur as well.

**D: Payments in Advance**

POTWF will not accept payments from clients in advance.

**E: Other Compensation**

POTWF does not receive compensation from the sale of securities or other investment products. See *Brokerage Practices* section of this brochure for more information.

**Item 6 Performance Based Fees**

Not applicable as POTWF does not receive performance-based fees.

**Item 7 Types of Clients**

POTWF serves individuals and high net worth individuals as well as families in Wyoming who would like assistance with financial planning, asset management, and/or budgeting. There is no account minimum for services.

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

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

POTWF uses a combination of fundamental analysis, technical analysis, and third-party analysis to evaluate investments sold by the Company and its advisers.

*Fundamental Analysis* is a method of determining a stock’s intrinsic value by examining a company’s financial health, the market, and economic conditions. Buy or sell

recommendations may be made based on if POTWF believes a stock is trading at prices higher or lower than its real value.

*Technical Analysis* is a method of evaluating statistical trends in trading activity, typically involving price movement and volume, to determine future price movements. While POTWF does not rely heavily on technical analysis, it may be used if management feels it would be useful.

*Third Party Analysis* is a method of using third party data to evaluate the value of a stock. Companies like Morningstar, Fidelity, The Motley Fool, etc. provide financial analysis on equities. POTWF may use third party data to determine if a security is a good investment or if it is time to sell.

## **B: Material Risks Involved**

Investing in securities involves risk that clients should be prepared for. Investment advisory services are subject to various market, currency, economic, security, and behavioral risks. Clients should carefully consider these risks before investing. Additional risks may be present beyond what is listed below.

*Market risk* is the possibility that an individual or entity will experience losses due to factors that affect the overall performance of investments in the financial markets. Market risk may arise due to changes in interest rates, exchange rates, geopolitical events, or economic conditions.

*Currency risk* or exchange rate risk arises from the change in price of one currency in relation to another. Investors that have assets across national borders are exposed to currency risk that may create unpredictable profits and losses.

*Economic risk* is the risk of changing business conditions or macroeconomic factors like government policies and regulations, economic conditions, or exchange rates.

*Security risk* is evident due to operational, information security, and related risks through cybersecurity incidents. POTWF maintains safeguards to keep client information secure, however, there can be no assurance that these safeguards will prevent cyber incidents.

*Behavioral risk* is the tendency for investors to make irrational investment decisions, especially during market turmoil. POTWF will conduct a risk survey for every investment advisory client to select investments suitable for that client. POTWF will also be available to talk with clients and answer questions.

Clients should carefully consider these risks before investing. Additional risks may be present beyond what is listed above.

## **C: Risks Involved with Recommended Securities**

Each investment type poses unique risk to clients including business risk, credit risk, liquidity risk and investment risk.

*Business risk* is the exposure to a company or organization that has factors that will lower its profits or lead it to fail. Through fundamental analysis, POTWF mitigates this risk, but the risk cannot be fully resolved.

*Credit risk* is the probability of a financial loss resulting from a borrower's failure to repay a loan. This risk is primarily present for debt investments. POTWF uses third party assessments and fundamental analysis to mitigate this risk but the risk cannot fully be resolved.

*Liquidity risk* is how easily a security can be bought or sold in the market and converted to cash. POTWF uses fundamental analysis and technical analysis to minimize liquidity risk for most securities. Certain investments may not be easily bought or sold due to intrinsic properties of the investment. Clients will be made aware of existing liquidity risk when the security is purchased but this risk cannot be fully resolved.

*Investment risk* is the chance that an outcome or investment's actual gains will differ from an expected outcome or return. This risk includes possible loss of principle. POTWF will use the analysis techniques listed in item 8A to mitigate these risks, however, these risks cannot be fully resolved.

Investment types will be determined based on the client's risk tolerance.

*Investments sold by POTWF are not FDIC insured, not guaranteed by POTWF, and may be exposed to investment risk including possible loss of principle.*

## **Item 9      Disciplinary Information**

### **A: Criminal or Civil Actions**

POTWF and its advisors have not been subject to any disciplinary action or involved in any legal or disciplinary event or proceeding.

### **B: Administrative Proceedings**

POTWF and its advisors have not been subject to any disciplinary action or involved in any legal or disciplinary event or proceeding.

### **C: Self-Regulatory Organization Proceedings**

POTWF and its advisors have not been subject to any disciplinary action or involved in any legal or disciplinary event or proceeding.

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

### **A: Broker-dealer Registration**

Not Applicable

### **B: Futures of Commodities**

Not Applicable

**C: Relationships or Arrangements**

Not Applicable

**D: Outside Investment Advisors**

Not Applicable

**Item 11 Code of Ethics, Participation or Interest in Client Transactions and Personal Trading****A: Code of Ethics**

POTWF and its advisers follows the CFP Board's *Code of Ethics and Standards of Conduct*. A copy of the code of ethics will be provided upon request or can be found at <https://www.cfp.net/ethics/code-of-ethics-and-standards-of-conduct>.

**B: Recommendations**

POTWF and its advisers will disclose any conflict of interest, in writing, to the client. POTWF will not recommend investments that the Company or related persons have a material interest in. The Company will not buy securities from or sell securities to or facilitate transactions between clients.

**C: Investing in the Same Securities as Clients**

Individuals associated with POTWF are permitted to buy or sell assets identical to or different from those recommended to clients. Advisers of POTWF may not take unfair advantage including front running and other unethical trading practices.

**D: Trading Securities Around the Same Time as Clients**

POTWF and its advisers are fiduciaries and are required to do what is in the best interest of the client. POTWF monitors non-discretionary transactions in the personal accounts of its employees. POTWF and its employees may not use material, non-public information in deciding whether to purchase or sell any asset prior to any pending transaction being executed.

All transactions will be completed through a registered broker dealer.

**Item 12 Other Financial Industry Activities and Affiliations****A1: Research and Other Soft Dollar Benefits**

POTWF does not receive soft dollar benefits from brokers. POTWF does not receive client referrals from brokerage partners.

## **A2: Brokerage for Client Referrals**

POTWF may recommend a broker-dealer to clients or clients may select their own. In recommending a broker to clients, POTWF will analyze commissions and fees, industry reputation, and other factors.

## **A3: Directed Brokerage**

POTWF will have the ability to place trades directed by the client for an investment advisory relationship. Any transactions directed by the client are not subject to most favorable execution and may cost the client money. POTWF will not accept transaction requests via email. POTWF does not partake in block purchases and sales nor will we aggregate purchases and sales among client accounts. All transactions will take place in each individual account to help maintain records and ensure all client transactions are fair, however, this can cost the client money.

## **B: Aggregating Trading for Multiple Client Accounts**

POTWF does not place block trades for its clients. When placing trades in multiple client accounts, POTWF will trade securities around the same time to minimize price differentials for clients. POTWF does not believe the price difference between trades will be material as investments will consist of highly traded securities.

## **Item 13 Review of Accounts**

### **A: Frequency of Reviews/Individual Completing Reviews**

Client accounts will be reviewed with the client at least annually. If an annual review has not been completed after 18 months, the relationship with the client will be terminated. Annual reviews will be completed by an Investment Advisor of the Company. The annual review for a solely investment advisory relationship will assess portfolio composition, performance, and risk level. Clients who also have a financial plan may also review their progress toward reaching their goals.

### **B: Factors that May Trigger a Non-Periodic Review**

Certain events may trigger a non-periodic review. This includes economic events, large transactions, or changes in the client's financial situation.

### **C: Content and Frequency of Reports for Clients**

Clients may log onto their brokerage platform to review their investments at any time. Clients will receive quarterly brokerage statements from the broker-dealer as well as other communications including prospectus delivery.

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

### **A: Third Parties who Provide Investment Advice**

Not applicable

## **B: Compensation to Non-Advisory Personnel**

POTWF may compensate third parties for client referrals. This arrangement can be a conflict of interest and will be disclosed to the client. POTWF does not charge clients a fee or additional cost for being referred by a current client or other promoter.

## **Item 15 Custody**

Clients can expect the selected broker-dealer to send quarterly account statements and other communications directly to them. Clients should carefully review the statements confirming balances, transactions, and trades. Any questions or concerns from a client should be directed to POTWF. POTWF does not send out statements.

## **Item 16 Investment Discretion**

POTWF accepts discretionary authority to manage securities accounts on behalf of its clients. POTWF and its representatives may place trades for securities including stocks, bonds, mutual funds, and ETFs. POTWF is not limited to these investments. Clients may be charged brokerage fees and/or commissions by the selected broker dealer. Clients who allow POTWF investment discretion must sign a contract with POTWF and give POTWF authority to have investment discretion with the broker-dealer.

## **Item 17 Voting Client Securities**

POTWF will not have authority to vote on client securities. Clients will receive solicitations directly from their custodian. For any questions regarding solicitations should be directed to where they received the solicitation from.

## **Item 18 Financial Information**

### **A: Balance Sheet/Prepayments**

POTWF does not require or solicit prepayments of more than \$1,200 in fees per client, six months or more in advance.

The State of Wyoming requires Investment Advisers with discretionary authority to maintain a net worth of \$10,000 and a bond amount of \$10,000. POTWF adheres to the rules and regulations of the State of Wyoming.

### **B: Discretionary Authority/Financial Condition Reasonably Likely to Impair Ability to Meet Contractual Commitments**

POTWF and its representatives do not have any financial condition that would be reasonably likely to impair your ability to meet contractual commitments to clients.

### **C: Bankruptcy History**

POTWF and its representatives have not been the subject of a bankruptcy.

## **Item 19 Requirements for State Registered Advisers**

**A: Principal Executive Officers and Management Persons**

POTWF is owned and operated by Alissa Sykes. Ms. Sykes graduated from Colorado State University with a B.A. in Economics with a minor in Business Administration. After college, she moved to Austin, TX where she learned about securities and wealth management at some of the top firms in the U.S. and in Travis County. She received her CERTIFIED FINANCIAL PLANNER™ certification in 2023.

**B: Other Business Engagements**

POTWF does not engage in other business beyond giving investment advice.

**C: Calculation of Performance Based Fees**

POTWF and its representatives are not compensated based on performance.

**D: Disciplinary Disclosures for Management Persons**

Not Applicable

**E: Management Persons Relationships with Issuers of Securities**

Not Applicable