TEAM MEMBER PROFILE

ASHTON THOMAS PRIVATE WEALTH

Adam Hoffman, CFA®, CAIA®

Director of Investments and Trading

Adam Hoffman joined Ashton Thomas in 2020 as Director of Investments and Trading. Prior to joining the firm, he was founder and Chief Investment Officer of his own advisory firm.

Adam, who was born in Kansas, came to live in Tempe, Arizona with his family when he was a child after his father, a radiologist, secured a position in the area. Adam decided to leave Arizona for a bit during his college years to attend Duke University, his older brother's alma mater. Adam graduated from Duke with a B.S. in Economics in 2004. Thinking he might pursue a career in medicine, like his father, Adam initially returned to Arizona to work at the Arizona Heart Institute. He soon realized this was not the career path for him and, after a brief stint in commercial real estate, Adam decided to step into the financial services world in 2008 with Vanguard.

After working his way up within the organization, Adam joined a team which served Vanguard's high-net-worth clients. Because his passion lay in the financial markets, when an opportunity to join the fixed income trading desk arose in 2010, he jumped at it. Shortly thereafter, he was promoted to a role on the senior fixed income desk, where he spent the remainder of his time with the organization. When an opportunity to join a growing independent advisory practice arose in 2015, Adam caught the entrepreneurial bug and left Vanguard for Henne Financial Group. There, he focused on building model portfolios for the firm and assisting clients with their investments. To further his entrepreneurial pursuits, Adam went on his own in 2016, starting Registered Investment Advisor firm Peak Capital Research & Management. After serving his clients for a number of years, he decided to move back into a larger firm setting and sold his book of business to another team of former Vanguard advisors.

Today, Adam supports Ashton Thomas advisors and clients by monitoring the financial markets and economic trends, interfacing with third-party money managers, and overseeing trading functions. He also writes commentary on the markets and economy for the firm, and interfaces with the firm's fintech platform, Amplify, on a daily basis.

"When I was working with clients on my own, I learned some very important things," Adam says. "Clients want simplicity, not complexity. As a result, I try to use plain, simple language and communicate frequently. Trust and communication are paramount."

Adam's approach to investment management focuses on a top-down approach. He also

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enjoys comparing standard, fundamental market valuation techniques and processes with market technical indicators, like momentum drivers.

Adam became a Charted Alternative Investment Analyst (CAIA®) in 2012 and subsequently obtained the distinguished Chartered Financial Analyst (CFA®) designation in 2013.

Adam is a proud father to his daughter, Katherine, who "enjoys going to Disneyland." They spend time together swimming and playing soccer (dad coaches her team). When he gets a bit of alone time, Adam still enjoys playing basketball now and then and is also an avid student of hot yoga.