

**Part 2A of Form ADV: Firm Brochure**

Item 1 Cover Page

CRD #107368

**Cox Global Associates, Inc.**  
**Donald P. Cox, CEO**  
**1260 Pin Oak Road, Suite 204**  
**Katy, TX 77494-5600**  
**281-395-8300**  
[www.coxglobalassociates.com](http://www.coxglobalassociates.com)

This brochure provides information about the qualifications and business practices of Cox Global Associates, Inc. If you have any questions about the contents of this brochure, please contact us at 281-395-8300. 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.

Cox Global Associates, Inc. is a Registered Investment Advisory firm. Registration does not imply a certain level of skill or training.

Additional information about Cox Global Associates, Inc. is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

March 2024

## Item 2 Material Changes

Cox Global Associates, Inc. will offer a copy of its most current disclosure brochure upon the request of a client or a prospective client. The last annual update of this brochure was dated August 30, 2023.

There have been no material changes to our business and/or the contents of this disclosure brochure since that time.

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### **The Company**

*Cox Global Associates, Inc.* is a Texas corporation formed in December, 1996. The principal of the company is Donald P. Cox, President. *Cox Global Associates, Inc.* is licensed with the State of Texas.

### **Financial/Investment Services**

*Cox Global Associates, Inc.* currently serves individual and corporate investors offering a full spectrum of investment services. We are an independent firm, a Registered Investment Advisory firm using Geneos Wealth Management, Inc. as our Broker/Dealer. Advisory representatives of *Cox Global Associates, Inc.* are also representatives of Geneos Wealth Management, Inc. Geneos along with our custodians enact all of our securities transactions. We associate ourselves with money managers known worldwide who have demonstrated long-term success with their clients in different economic environments. The following are the investment options and account types we may offer:

**Portfolio Management:** Portfolios will utilize an asset allocation strategy that is appropriate for the client's situation and risk tolerance. Securities utilized may include:

- U.S. or Foreign Stocks, Stock Mutual Funds or ETFs
- U.S. or Foreign Government and Corporate Bonds, Bond Mutual Funds or ETFs
- Municipal Tax-Free Bonds and Muni Bond Mutual Funds or ETFs
- Real Estate or REITs (Real Estate Investment Trusts), Mutual Funds or ETFs
- Variable Annuities

**Account Types May Include:**

- 401(k) Profit Sharing Plans
- 403(b) ORP/TSA Plans
- Self Employed Retirement Plans (SEP IRA)
- Savings Incentive Match Plan for Employees (SIMPLE IRA)
- Individual Retirement Accounts (IRA)
- Roth Individual Retirement Accounts
- 529 College Savings Plans
- Taxable Accounts for Joint or Individual Ownerships
- Trust accounts

### **Managed Program**

We offer our clients the following managed account program. The program, as selected by the client, is designed to allow the client to invest within certain types of securities.

#### **STRATEGIC ACTIVELY MANAGED ALLOCATION PROGRAMS**

This program is for the investor seeking long-term growth with potential income through the use of actively managed mutual funds, variable annuities, individual securities, REITs (Real Estate Investment Trusts), Exchange Traded Funds (ETFs), and individual bonds or stocks. Risk levels range from Conservative to Aggressive. The percentage of each security in a portfolio is determined by an individual's account needs. All Strategic Actively Managed Allocation accounts will vary in investment holdings depending on when dollars are invested. The investment goal of the program is to utilize a variety of securities that offer long-term growth and/or income. Cox Global Associates' representatives are acting as fiduciary investment advisors under Cox Global Associates, Inc.

### **Non-Managed Program**

Non-Managed accounts are held for individuals who do not seek fiduciary services but who instead wish to hold an account where Cox Global Associates will act as a broker or registered representative with Geneos Wealth Management. Transactions are charged a fee and a commission is paid to Cox Global Associates. Advisory fees are not charged on the account.

#### **ACCOUNTS – Managed and Non-Managed**

*Cox Global Associates, Inc.* manages 16 non-managed accounts with assets totaling approximately \$ \$292,820 on a nondiscretionary basis (these figures were calculated as of March 1, 2024).

### FEE SCHEDULE

The managed programs at *Cox Global Associates, Inc.* do not have a required minimum size account. Our fees are paid in advance for the quarter. Accounts over \$1.5 million are negotiable. The initial billing would include a pro-rated fee for the balance of the quarter.

The following is our fee schedule per program and quarterly/annual management with appropriate breakpoints:

#### **Schedule A: Strategic Actively Managed Allocation Programs**

<u>\$ Under Mgt.</u>	<u>Quarterly Charge \$ Under Mgt.</u>	<u>Annual % Charge</u>
\$0 - \$500,000	0.313%	1.25%
\$500,001 - \$1 million	0.250%	1.00%
\$1,000,001 - \$1.5 million	0.188%	0.75%
Over \$1.5 million	negotiable	negotiable

Clients holding assets within an alternative investment are not charged a fee on those investments.

In addition to the investment advisory fees charged, clients also pay management fees to the investment adviser of each mutual fund based upon the client's investment amount.

When clients utilize non-managed accounts, they will select mutual funds from two different share classes. A & C shares are broker shares where a Cox Global Associates Advisor is serving as a registered representative of our broker dealer Geneos Wealth Management. Registered representatives buy and sell securities within an account at the request of the client and serve under our non-advisory client agreement.

**Class A Share** – Front-end loaded commissions up to 5.75% of investment. Mutual fund companies offer the investor discounts on sales charges known as breakpoints if large investments are made in the same mutual fund family. Clients may also use letters of intent and rights of accumulation to receive breakpoints.

**Class C Share** – Back-end loaded at 1% known as a contingent deferred sales charge, and is charged to the client if shares are redeemed within the first year.

When clients utilize advisory accounts under the managed programs, they will select mutual funds from share classes that do not charge a load. No Load Class advisory shares are shares where a Cox Global Associates Advisor is serving as an investment advisor with a fiduciary role to act on a client's portfolio with full discretion and in the best interest of the client. Advisors will serve under our advisory client agreement.

**No-Load Advisory Shares** - These advisory funds have neither a front or back-end load. This class is excluded from being fee waived and is billable upon opening an account. Common no load share classes include Institutional Shares, F-Shares and R-Shares.

A client may terminate their non-advisory or advisory agreement within 5 days written notice without penalty from *Cox Global Associates, Inc.* Upon entering into an agreement with *Cox Global Associates, Inc.*, a client acknowledges receipt of Part 2A and B of Form ADV along with our Privacy Statement, Conflicts of Interest Disclosure, and Geneos Wealth Management's Form CRS.

If the appropriate disclosure statement was not delivered to the client at least 48 hours prior to the client entering into any written or oral advisory contract with this investment advisor, then the client has the right to terminate the contract without penalty within five business days after entering into the contract. For the purposes of the provision, a contract is considered entered into when all parties to the contract have signed the contract, or, in the case of an oral contract, otherwise signified their acceptance, any other provisions of this contract notwithstanding.

Clients will receive a refund of pre-paid fees on a pro-rata basis. Since fees are calculated on a quarterly basis, the actual days within the quarter are determined, and the fees to be refunded will be based on a daily calculation from the received date of notification to terminate. No fees are refunded on partial withdrawals made during a calendar quarter. No assignment of this contract shall be made by the investment advisor without the written consent of the other party to the contract.

Item 6      *Performance-Based Fees* and Side-By-Side Management

Not Applicable.



**Types of Clients**

We provide investment services to individuals, businesses, trusts, and corporate retirement plans.

The managed and non-managed programs at *Cox Global Associates, Inc.* do not have a required minimum size account.

*Cox Global Associates, Inc.* uses charts, time lines, fundamental indicators, moving averages, trend lines, cash positions (mutual funds), interest rates, inflation numbers and technical indicators to analyze positions within our managed programs. Employees of *Cox Global Associates, Inc.* who own managed accounts, buy the same mutual funds, securities, and/or annuities and are positioned in the same managed programs as our clients.

Control of Risk is essential in successful investing. All accounts use a plus or minus 5% drift rule from the target allocation before rebalancing will occur. Reallocation may occur once a year or under unusual market conditions. These guidelines are only signals and are not used to trigger immediate action. These guidelines offer no guarantee of an exact loss floor with mutual funds and variable annuities being traded at the close of business each day.

#### Portfolio Manager Selection and Evaluation:

We select investment managers to support our program offerings. The Investment Committee provides oversight by tracking, reviewing, and changing any managers and positions in our programs that they deem necessary. Common factors that are used to measure these positions include historical performance, performance against peers, fund cost, and the fund's ability to stay within their stated discipline. If any of these positions drifts out of our levels of expectations, our Investment Committee will meet with the fund manager to evaluate all aspects of the fund, and make a decision to keep or replace based on a full view of information.

The Investment Committee also makes the decision on the appropriate weights for each asset class and position within our programs. We use the following standards in order to evaluate investment manager's performance. We look at the percentage rank of the specific product in its respective category for a 3-year and 5-year period. We also evaluate them both philosophically and by their types of investments to reasonably ensure their philosophy matches our clients' needs and goals. We utilize Morningstar data to review our performance information and verify accuracy of numbers.

All investments have some degree of risk that a client should be prepared to bear. *Cox Global Associates, Inc.* strongly recommends clients to review the funds' prospectuses and other information in which they are invested. Past performance is no guarantee of future results.

Investing in securities involves risk of loss. Further, depending on the different types of investments, there may be varying degrees of risk:

- Market Risk. Either the market as a whole, or the value of an individual company, goes down, resulting in a decrease in the value of client investments. This is referred to as systemic risk.
- Equity (Stock) Market Risk. Common stocks are susceptible to fluctuations and to volatile increases/decreases in value as their issuers' confidence in or perceptions of the market change.
- Company Risk. There is always a certain level of company or industry specific risk when investing in stock positions. This is referred to as unsystematic risk and can be reduced through appropriate diversification. There is the risk that a company may

perform poorly or that its value may be reduced based on factors specific to it or its industry (e.g., employee strike, unfavorable media attention).

- Fixed Income Risk. Investing in bonds involves the risk that the issuer will default on the bond and be unable to make payments. In addition, individuals depending on set amounts of periodically paid income face the risk that inflation will erode their spending power. Fixed income investors receive set, regular payments that face the same inflation risk.
- ETF and Mutual Fund Risk. Exchange traded fund (ETF) and mutual fund investments bear additional expenses based on a pro-rata share of operating expenses, including potential duplication of management fees. The risk of owning an ETF or mutual fund generally reflects the risk of owning the underlying securities held by the ETF or mutual fund.
- Management Risk. Your investments also vary with the success and failure of our investment strategies, research, analysis and determination of portfolio securities. If our strategies do not produce the expected returns, the value of your investments will decrease.
- Alternative Investment Risk. These investments have a high degree of risk. It is possible for you to experience total loss or a substantial loss of investment. In the absence of a public market for these securities, there is lack of liquidity and an expected investment time horizon usually in excess of five years. There are no guarantees that you will receive a distribution and payments of distributions may also decrease or diminish your interest.

An arbitration claim was filed against Donald Cox and Geneos Wealth Management on January 23, 2017. A resolution and settlement was reached on January 30, 2018, for \$31,819.10.

This claim states no specific damage amount and includes two separate customers who each had different registered representatives. The clients were sophisticated, high net worth, investors who fully understood all of their purchases. Cox Global's recommendations were based on what customers described about their investment objectives, investment profile, and the investments they already owned. The clients made it very clear they wanted their investments to produce more income than they could get out of traditional investments and they wanted alternative investments which were discussed. All risks associated with their alternative investments were properly disclosed, and the clients attested to their understanding by executing all required forms and disclosure documents.

Advisory representatives of *Cox Global Associates, Inc.* are also representatives of Geneos Wealth Management, Inc. Geneos along with Pershing LLC (custodian) enact all of our securities transactions.

Our recommendation that clients maintain their assets in accounts with our broker/dealer or custodians may be based in part on the benefit to us of the availability of some of the foregoing products and services and not solely on the nature, cost or quality of custody and brokerage services provided by such broker/dealers. This may create a conflict of interest. You are under no obligation to act on our recommendations.

Donald P. Cox is a Registered Representative and an Investment Advisor Representative with Geneos Wealth Management, Inc and Cox Global Associates. He is also licensed for Life, Accident, Health, and HMO within the state of Texas.

Registered representatives are transaction-based service providers. Registered representatives ensure an investment is suitable for an investor given their investment profile. They also ensure that trades are executed efficiently. Investors will incur sales charges determined by securities' issuers when dealing with a registered representative.

A registered investment advisor is considered a fiduciary. As a fiduciary, it is an investment advisor's responsibility to provide fair and full disclosure of all material facts. In addition, an investment advisor has a duty of utmost good faith to act solely in the best interest of each of its clients. *Cox Global Associates, Inc.* and its representatives have a fiduciary duty to all clients. *Cox Global Associates, Inc.* and its representative's fiduciary duty to clients is considered the core underlying principle for *Cox Global Associates, Inc.*'s Code of Ethics and represents the expected basis for all representatives' dealings with clients. *Cox Global Associates, Inc.* has the responsibility to make sure that the interests of clients are placed ahead of it or its representative's own investment interest. All representatives will conduct business in an honest, ethical and fair manner. All representatives will comply with all federal and state securities laws at all times. Full disclosure of all material facts and potential conflicts of interest will be provided to clients prior to services being conducted. All representatives have a responsibility to avoid circumstances that might negatively affect or appear to affect the representatives' duty of complete loyalty to their clients.

*Cox Global Associates, Inc.*'s Code of Ethics is available to all clients and/or perspective clients upon request.

*Cox Global Associates, Inc.* or its representatives may buy or sell securities or have an interest or position in a security for their personal account, which they also recommend to clients. Our firm is and shall continue to be in compliance with The Insider Trading and Securities Fraud Enforcement Act of 1988. As these situations may represent a potential conflict of interest, it is a policy of *Cox Global Associates, Inc.* that no representative shall prefer his or her own account to that of the advisory client. Representatives may not trade the same security in their personal account on the same day as they trade it in a client's account unless the trades are executed in an average price account that allows all accounts to receive the same price, or if you receive a better price than your representative.

*Cox Global Associates, Inc.* does not have custody of the client's funds or securities. The investment is always listed in the client's name and *Cox Global Associates, Inc.* does not have access to any of our client's funds. All contributions and withdrawals are initiated by the client. This does not account for penalties incurred by IRS regulations and/or mutual fund guidelines which are presented in full to all clients prior to purchase. Funds can generally be obtained within several days after a written request is made to the fund company.

We are an independent firm, a Registered Investment Advisory firm using Geneos Wealth Management, Inc. as our Broker/Dealer.

We have the flexibility to select the investments, funds, stocks, or bonds without any direction from our broker/dealer. This is done per our client's needs and comfort level to the best of our professional capabilities. Accounts in our managed programs with similar investment objectives are all moved at the same time no matter what the size. Moves within our managed programs do not create commissions for *Cox Global Associates, Inc.* or its representatives.

*Cox Global Associates, Inc.* 's representatives are registered representatives of Geneos Wealth Management, Inc. – our broker/dealer - and are required to use the services of Geneos. Together we offer a wide range of approved securities products for which due diligence has been performed prior to selection. Commissions charged for these products may be higher or lower than commissions clients may be able to obtain if transactions were implemented through another broker/dealer. If you are a client under the *Cox Global Associates, Inc.* 's Investment Advisory Agreement, you pay no commissions. All commissions are paid by the representative.

We utilize custodians and products that have been approved by Geneos Wealth Management, Inc.

We take seriously our obligation of best execution for client transactions.



Client reviews are done on a semi-annual or annual basis depending upon the client's request. *Cox Global Associates, Inc.* offers its clients account reviews more frequently by request. A review may also be instigated in the event of a change in prevailing market conditions.

Clients receive statements from the account custodian monthly if there is activity in the account and quarterly if there is not activity in the account.

*Cox Global Associates, Inc.* shall annually offer to deliver upon request to each of its clients, this "Disclosure Brochure". Any revised "Disclosure Brochure" is available to each client upon request to *Cox Global Associates, Inc.*

Item 14      *Client* Referrals and Other Compensation

Not applicable.

*Cox Global Associates, Inc.* does not have custody of the client's funds or securities. The investment is always listed in the client's name. *Cox Global Associates, Inc.* does not have access to any of our client's funds. All contributions and withdrawals are initiated by the client. There may be withdrawal penalties incurred by IRS regulations and/or mutual fund guidelines which are presented in full to clients prior to purchase. Funds can generally be obtained within several days after a written request is made to the fund company.

Monthly and quarterly statements are sent directly to the client's address-of-record from the custodian for all brokerage accounts. Accounts held with mutual fund or insurance companies are sent from the specific mutual fund family or insurance company. If a client chooses, a paperless statement is available, and email notifications are provided to the client when statements are available.

*Cox Global Associates, Inc.* accepts discretionary authority to manage accounts on behalf of clients. In meeting with prospects or clients, *Cox Global Associates, Inc.* reviews investment options according to client's investment objectives. Programs are then chosen to meet client's investment objectives. *Cox Global Associates, Inc.* requires that all clients sign written investment advisory agreements giving the firm the authority to determine, without obtaining the client's prior approval, the types and the amounts of securities that are bought or sold and the broker/dealer to be used. Clients may impose reasonable limitations, in writing, on our discretionary authority.

Item 17      Voting *Client* Securities

*Cox Global Associates, Inc.* declines to vote any proxies. Decisions on voting of proxies will be made directly by the client.

Item 18 Financial Information

Not applicable.

**Donald P. Cox** is the principal executive officer for *Cox Global Associates, Inc.* He is also a representative with the brokerage firm of Geneos Wealth Management, Inc.

He is responsible for supervising the activities and services provided by *Cox Global Associates, Inc.* and in overseeing and enforcing the firm's compliance issues. He can be contacted at 281-395-8300.

Please refer to the Investment Advisor Representative Brochure Supplement for specific information for Donald P. Cox.

**INVESTMENT ADVISOR REPRESENTATIVE  
BROCHURE SUPPLEMENT  
(March 2024)**

Donald P. Cox  
1260 Pin Oak Road, Suite 204  
Katy, TX 77494-5600  
281-395-8300

This brochure supplement provides information about Donald P. Cox that supplements the Investment Advisor Disclosure Brochure for *Cox Global Associates, Inc.* You should have received a copy of that brochure. Please contact *Cox Global Associates, Inc.* if you did not receive a copy of the Investment Advisory Disclosure Brochure or if you have any questions about the contents of this supplement.

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

**Educational Background and Business Experience:**

**Donald P. Cox**, born September 24, 1952, is Chairman of the Board and President of *Cox Global Associates, Inc.* He is a graduate of Sam Houston State University with a Bachelor of Business Administration in Marketing. Mr. Cox has been in various aspects of the investment advisory business since 1985. From 1985 to 1990, Mr. Cox was a Senior Account Executive with SIMCO, a Registered Investment Advisory firm. In May 1990, Mr. Cox started his own Registered Investment Advisory firm. He has served on several Board of Directors and organizations such as Treasurer for Sam Houston State University Interfraternity Council, President of Exchange Club of the Magic Circle, the Board of Directors for Exchange Clubs, President of IRBBA (International Red Brangus Breeders Association), Board of Directors for IRBBA, and past president and Board of Directors of Central Texas Red Brangus Association. He served as President of IBBA (International Brangus Breeders Association) during 2010. Mr. Cox served two terms on the IBBA Board of Directors. Don Cox served on the Board of Directors for The Escape Center. He served on the Board of Trustees for his church and as the church Business Manager for 14 years. Currently he is the President of the Harris-Fort Bend County Municipal District 4 and has been Chairman of the City of Katy Charter Review Committee. Prior to entering the Investment Advisory business in 1985, Mr. Cox worked in management for the JCPenney Company for 10 years. While working at JCPenney Company, he served as General Merchandise Manager, Operations Manager and District Merchandise Manager. Mr. Cox is a native Houstonian. He has four grown children and currently resides in Katy, Texas.

**Disciplinary Information:**

An arbitration claim was filed against Donald Cox and Geneos Wealth Management on January 23, 2017. A resolution and settlement was reached on January 30, 2018 for \$31,819.10.



This claim states no specific damage amount and includes two separate customers who each had different registered representatives. The clients were sophisticated, high net worth, investors who fully understood all of their purchases. Cox Global's recommendations were based on what customers described about their investment objectives, investment profile, and the investments they already owned. The clients made it very clear they wanted their investments to produce more income than they could get out of traditional investments and they wanted alternative investments which were discussed. All risks associated with their alternative investments were properly disclosed, and the clients attested to their understanding by executing all required forms and disclosure documents.

Other Business Activities:

**Donald P. Cox** is the principal executive officer for *Cox Global Associates, Inc.* He is also a representative with the brokerage firm of Geneos Wealth Management, Inc.

Outside Business Activities:

Mr. Cox owns his own cattle ranch under the company name of Cox Excalibur. He employs a full-time ranch manager and staff to operate the business.

Don Cox is the majority partner of a commercial building, Pin Oak Atrium building. The building partners employ an Operations Manager to handle the duties and facilities of maintaining the building.

Licensed Insurance Agent Disclosure:

Don Cox is also an independently licensed insurance agent. He is licensed for Life, Accident, Health, and HMO with the state of Texas. If you elect to purchase insurance products through Don Cox he may earn commissions. He could receive fees for the advice and also receive commissions for implementing insurance transactions. You are not obligated to implement the advice provided by Don Cox or to implement transactions through him in his separate capacity as an insurance agent.

Additional Compensation:

As a registered representative of Geneos Wealth Management, Inc., Mr. Cox may receive commissions for implementing the purchase and/or sale of securities or other investment products.

Supervision:

Mr. Cox is responsible for supervising the activities and services provided by *Cox Global Associates, Inc.* and in overseeing and enforcing the firm's compliance issues. He can be contacted at 281-395-8300.

Requirements for State-Registered Advisors:

In May 1997, the Securities Commissioner of Texas found that Cox, Arre & Associates, Inc. was not properly registered with the State of Texas. Although the firm was properly registered with the SEC, they were not registered in the State. This incident has been resolved for over 17 years.