

Archetype Wealth Partners
FORM CRS – CLIENT RELATIONSHIP SUMMARY

6/30/2020

| <p>Item 1. <u>Introduction</u></p> | <p>Archetype Wealth Partners, LLC is registered with the Securities and Exchange Commission (SEC) as an investment adviser. Brokerage and investment advisory services and fees differ and it is important for you to understand these differences. Free and simple tools are available to research firms and financial professionals at Investor.gov/CRS, which also provides educational materials about broker-dealers, investment adviser, and investing.</p> | | | | | | | | | | |
|---|--|------------------------|-----------------|-------------------|-------|------------------|-------|------------------|-------|-------------------|------------|
| <p>Item 2. <u>Relationships and Services</u></p> <p>What investment services and advice can you provide me?</p> | <p>We offer investment advisory services to retail investors, including investment management services, comprehensive financial planning and consulting services as well as discretionary and/or non-discretionary management of investment portfolios.</p> <p>i) Monitoring. We monitor your portfolios on a continuous and ongoing basis while regular account reviews are conducted on at least a quarterly basis by our investment advisor representatives. We will contact you at least annually to review previous services and/or recommendations and to discuss the impact resulting from any changes in your financial situations and/or investment objectives.</p> <p>ii) Investment Authority. You appoint us with discretionary trading authority over the assets you have placed under our management. You authorize us, without prior consultation, consent or approval to implement transactions for your assets, buy, sell and trade stocks, bonds, mutual funds, index funds, exchange traded funds, short-term money-market instruments and other securities and contracts, including on margin if you have signed a separate margin authorization and give instructions to the broker-dealer and the custodian of your assets. If you request that we provide any non-discretionary consultation services, keep in mind that the retail investor would make the ultimate decision regarding the purchase or sale of investments.</p> <p>iii) Limited Investment Offerings: We primarily allocate client assets among various mutual funds, exchange-traded funds (“ETFs”), individual debt and equity securities, and independent investment managers according to your stated investment objectives. We do not offer alternative or private investments. Where appropriate, we may also provide advice about any type of legacy position or other investment held in your portfolio. You may engage us to manage and/or advise on certain investment products, such as variable life insurance and annuity contracts and assets held in employer sponsored retirement plans and qualified tuition plans (i.e., 529 plans). These assets are generally maintained at the underwriting insurance company or the custodian designated by the product’s provider.</p> <p>iv) Account Minimums and Other Requirements: Advisor Managed Accounts are generally subject to a minimum household investment amount of \$200,000.</p> <p>Additional information. Please see Form ADV, Part 2A brochure (Items 4 and 7 of Part 2A or Items 4.A. and 5 of Part 2A Appendix 1).</p> <p>Conversation Starters. Ask your financial professional—</p> <ul style="list-style-type: none"> • Given my financial situation, should I choose an investment advisory service? Why or why not? • How will you choose investments to recommend to me? • What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean? | | | | | | | | | | |
| <p>Item 3. <u>Fees, Costs, Conflicts, and Standard of Conduct</u></p> <p>A. What fees will I pay?</p> | <p>Depending on the particular client engagement, we offer investment management services for an annual fee based on the amount of assets under the Firm’s management. This management fee varies in accordance with the following blended fee schedule:</p> <table border="1" data-bbox="672 1423 1222 1587" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th style="text-align: center;"><u>PORTFOLIO VALUE</u></th> <th style="text-align: center;"><u>BASE FEE</u></th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">First \$1,000,000</td> <td style="text-align: center;">2.00%</td> </tr> <tr> <td style="text-align: center;">Next \$1,000,000</td> <td style="text-align: center;">1.50%</td> </tr> <tr> <td style="text-align: center;">Next \$3,000,000</td> <td style="text-align: center;">1.00%</td> </tr> <tr> <td style="text-align: center;">Above \$5,000,000</td> <td style="text-align: center;">Negotiable</td> </tr> </tbody> </table> <p>For your specific fee schedule, please see your Discretionary Wealth Management Agreement. We may also charge a fixed fee for the financial planning and consulting services that are provided under a wealth management relationship. The annual fee is prorated and charged quarterly, in advance, based upon the market value of the assets being managed by us on the last day of the previous billing period.</p> <p>As an alternative to the above fee arrangement, the Firm offers investment management as well as financial planning and consulting services for a negotiated fixed annual fee that is prorated and charged either monthly or quarterly in advance.</p> <p>Additionally, for asset management services the Firm provides with respect to certain client holdings (e.g., held-away assets, accommodation accounts, alternative investments, etc.), we may negotiate a fee that differs from the range listed above.</p> <p>In addition to the advisor fees paid to us, you may also incur certain charges imposed by other third parties, such as broker-dealers, custodians, trust companies, banks and other financial institutions. These additional</p> | <u>PORTFOLIO VALUE</u> | <u>BASE FEE</u> | First \$1,000,000 | 2.00% | Next \$1,000,000 | 1.50% | Next \$3,000,000 | 1.00% | Above \$5,000,000 | Negotiable |
| <u>PORTFOLIO VALUE</u> | <u>BASE FEE</u> | | | | | | | | | | |
| First \$1,000,000 | 2.00% | | | | | | | | | | |
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| | <p>charges may include securities brokerage commissions and other transaction costs, custodial fees, fees charged by the Independent Managers, margin costs, charges imposed directly by a mutual fund or ETF in a client’s account, as disclosed in the fund’s prospectus, deferred sales charges, odd-lot differentials, transfer taxes, wire transfer and electronic fund fees, and other fees and taxes on brokerage accounts and securities transactions.</p> <p>Additional Information. You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce any amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying. Please see Form ADV, Part 2A brochure (Items 5.A., B., C., and D of Part 2A or Items 4 of Part 2A Appendix 1) and other applicable documents.</p> <p>Conversation Starter. Ask your financial professional—</p> <ul style="list-style-type: none"> • Help me understand how these fees and costs might affect my investments. If I give you \$10,000 to invest, how much will go to fees and costs, and how much will be invested for me? |
| <p>Item 3. <u>Fees, Costs, Conflicts, and Standard of Conduct</u></p> <p>B. What are your legal obligations to me when acting as my investment adviser? How else does your firm make money and what conflicts of interest do you have?</p> | <p>When we act as your investment adviser, we have to act in your best interest and not put our interest ahead of yours. At the same time, the way we make money creates some conflicts with your interests. You should understand and ask us about these conflicts because they can affect the investment advice we provide you. Here are some examples to help you understand what this means.</p> <p>By charging an asset-based fee, the more assets there are in your account, the more you will pay in fees, and the firm may therefore have an incentive to encourage you to increase the assets in your account.</p> <p>Consistent with obtaining best execution, transactions may be directed to certain broker/dealers in return for investment research products and/or services which assist us in our investment decisions. Such research generally will be used to service all of our clients, but brokerage commissions paid by one client may be used to pay for research that is not used in managing that client’s portfolio. The receipt of investment research products and/or services as well as the allocation of the benefit of such investment research products and/or services poses a conflict of interest because we do not pay for the products or services.</p> <p>While we do not render accounting services to client, if a client requires accounting services, we may recommend the services of our investment advisor representative Michael Richter through the certified public accounting firm of Mike Richter CPA, PLLC. These services are rendered independent of Archetype Wealth Partners. We do not receive any portion of fees paid by the client to Mike Richter CPA, PLLC. There exists a conflict of interest to the extent that we recommend the account services of Mike Richter CPA, PLLC.</p> <p>Conversation Starter. Ask your financial professional—</p> <ul style="list-style-type: none"> • How might your conflicts of interest affect me, and how will you address them? <p>Additional information. Please see Form ADV, Part 2A brochure and other applicable documents.</p> |
| <p>Item 3. <u>Fees, Costs, Conflicts, and Standard of Conduct</u></p> <p>How do your financial professionals make money?</p> | <p>We compensate advisors, depending on their role, in one of two ways. We either pay advisors a salary commensurate with their experience, or advisors may receive a portion of the ongoing advisory fees paid to us by the clients they bring to the firm.</p> |
| <p>Item 4. <u>Disciplinary History</u></p> <p>Do your financial professionals have legal or disciplinary history?</p> | <p>Yes.</p> <p>Visit Investor.gov/CRS for a free and simple search tool to research us and our financial professionals.</p> <p>Conversation Starter. Ask your financial professional—</p> <ul style="list-style-type: none"> • As a financial professional, do you have any disciplinary history? For what type of conduct? |
| <p>Item 5. <u>Additional Information</u></p> | <p>For additional information about our services, please visit our website. If you would like additional, up-to-date information or a copy of this disclosure, please call 346-352-2360.</p> <p>Conversation Starter. Ask your financial professional—</p> <ul style="list-style-type: none"> • Who is my primary contact person? Is he or she a representative of an investment-adviser or a broker-dealer? Who can I talk to if I have concerns about how this person is treating me? |