

## Item 1 - Introduction

Strategic Wealth Management Group, LLC d/b/a Wealthspire Advisors (“Wealthspire”, “Wealthspire Advisors”, “we” or “us”) is registered with the Securities Exchange Commission (“SEC”) as an investment adviser. We are affiliated through common ownership with Wealthspire Advisors LLC; we are both subsidiary companies of NFP Corp. Our services and compensation structure differ from a registered broker-dealer, and it is important for you to understand the differences between those structures. Free and simple tools are available to research firms and financial professionals at [www.investor.gov/CRS](http://www.investor.gov/CRS). The site also provides educational materials about broker-dealers, investment advisers and investing. The italicized sentences appearing in text boxes below are intended to be “conversation starters” for you to have with us, as required by the instructions to Form CRS.

## Item 2 - Relationships and Services

### What investment services and advice can you provide me?

As fiduciaries, we offer discretionary or non-discretionary investment advisory, financial planning and consulting services to individuals and their trusts and estates (“you,” “clients,” or our “retail investors”). We manage portfolios based on each client’s unique investment objectives, risk tolerance, investment time horizon, withdrawal requirements, and other special circumstances. We monitor portfolios periodically and make changes to them as we determine necessary. If we manage your portfolio on a discretionary basis, we have the authority to buy and sell investments in your accounts without speaking to you before doing so. However, you can place reasonable restrictions on the securities that we buy by notifying us, in writing. If we manage your portfolio on a non-discretionary basis, you make the ultimate decision regarding the purchase or sale of investments, and we cannot execute any account transactions without obtaining your prior consent. Therefore, if we would like to execute a transaction for your non-discretionary account and you are not available to provide consent, we would not be able to execute that transaction, which could place your portfolio at a disadvantage. We do not have to limit the type of securities we trade for retail investors to proprietary products or a limited group or type of investment, but we generally construct and manage portfolios consisting primarily of exchange-listed securities, mutual funds, individual bonds, bond funds, exchange traded funds (“ETFs”), independent managers/separate account managers, and certificates of deposit. We do not impose a minimum annual investment advisory fee. We may also agree to provide financial planning and consulting services as part of our investment advisory services without additional charge, or on a stand-alone separate fee basis. When we provide those services to a retail investor, we rely upon the information they provide and do not verify or monitor that information while or after providing these services. Our financial planning consulting services are completed upon the communication of our recommendations to the retail investor or delivery of a written financial plan. For more detailed information about our Advisory Business and the Types of Clients we generally service, please see Items 4 and 7, respectively in our [Form ADV Part 2A](#).

KEY QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL
<i>Given my financial situation, should I choose an investment advisory service? Why or why not?</i>
<i>How will you choose investments to recommend to me?</i>
<i>What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?</i>

## Item 3 - Fees, Costs, Conflicts, and Standard of Conduct

### What fees will I pay?

For investment advisory services, the negotiable annual fee is based upon a percentage of the total market value and type of assets placed under management, generally between 0.25% and 1.50%. Our negotiable financial planning and consulting fees are generally charged at \$250 per hour, or between \$2,500 and \$10,000 on a fixed fee basis. We either deduct our fees from one or more of your investment accounts or bill you for our services quarterly in advance. Because our fee is based on the amount of your assets under our management, the more assets you designate to us for management, the more you will pay us for our services. Therefore, we have an incentive to encourage you to increase the amount of assets that you designate for our management. For more detailed information about our investment advisory and other fees and expenses, please see Item 5 in our [Form ADV Part 2A](#). Your account will be held with a qualified custodian. You will also be responsible for the fees and expenses charged by qualified custodians and imposed by broker dealers. Those fees and expenses include but are not limited to, transaction charges, wire transfer and electronic fund fees, and other fees and taxes on brokerage accounts and securities transactions. If your assets are

invested in mutual funds, ETFs, or other registered and unregistered investment companies, you will bear your pro rata share of the investment management fees and other fees of the funds, which are in addition to the fees you pay us. These fees and expenses are described in each fund's prospectus or other offering documents. If your assets are allocated to unaffiliated independent investment managers, you will incur a separate and additional charge for their services that will be disclosed to you at the time of engagement and/or subject to the terms of a separate agreement you sign with the unaffiliated independent investment managers. 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. For more detailed information about our fees and costs related to our management of your account, please see Item 5 in our [Form ADV Part 2A](#).

KEY QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL

*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?*

**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?**

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:

- \* We may recommend that you engage a particular custodian from whom we receive support services. This presents a conflict of interest, because our receipt of their support make us more inclined to continue using and recommending them.
- \* We may recommend rollovers out of employer-sponsored retirement plans and into Individual Retirement Accounts that we manage for an asset-based fee. If we do not currently manage your account held with your employer's plan, this will increase our compensation.

KEY QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL

*How might your conflicts of interest affect me, and how will you address them?*

For more detailed information about our conflicts of interest, please review Item 4, 5, 10, 11, and 12 of [Form ADV Part 2A](#).

**How do your financial professionals make money?**

Our financial professionals are generally compensated on a salary basis and are eligible to receive discretionary bonuses. Bonuses can be but are not necessarily based on the acquisition of new clients and their growth of assets. This presents conflicts of interest, because it can incentivize our financial professionals to recommend that you place additional assets under our management. We mitigate that conflict by adhering to our fiduciary duty when making investment recommendations, so that we only make recommendations in conformity with each client's investment objectives and savings strategy. You should discuss your financial professional's compensation directly with your financial professional.

**Item 4 - Disciplinary History**

**Do you or your financial professionals have legal or disciplinary history?**

No. We encourage you to visit [www.investor.gov/CRS](http://www.investor.gov/CRS) to research our firm and our financial professionals.

KEY QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL

*As a financial professional, do you have any disciplinary history? If so, for what type of conduct?*

**Item 5 - Additional Information**

Additional information about our firm is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You may contact our Chief Compliance Officer at 414-509-1330 to request a current copy of our Form ADV Part 2A or our relationship summary.

KEY QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL

*Who is my primary contact person? Is he or she a representative of an investment adviser or broker-dealer? Who can I talk to if I have concerns about how this person is treating me?*