

Wrap Fee Program Brochure

(Part 2A Appendix 1 of Form ADV)



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This wrap fee program brochure provides information about the qualifications and business practices of ARQ Wealth Advisors, LLC. Being registered as a registered investment adviser does not imply a certain level of skill or training. If you have any questions about the contents of this brochure, please contact us at 480-634-1916, or by email at: greg@arqwealth.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.

Additional information about ARQ Wealth Advisors, LLC is available on the SEC's website at www.adviserinfo.sec.gov

February 17, 2015

Item 2: Material Changes

Annual Update

The Material Changes section of this brochure will be updated annually or when material changes occur since the previous release of the Wrap Fee Program Brochure.

Material Changes since the Last Update

Since the last annual filing of this brochure on March 31, 2014, ARQ Wealth Advisors, LLC has had the following material changes:

As of January 2015, Siegel/Yocum Asset Management, LLC has changed its name from Siegel/Yocum Asset Management, LLC to ARQ Wealth Advisors, LLC.

As of February 2015, the firm has transitioned from Securities and Exchange Commission registration to State of Arizona registration.

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Item 4: Services, Fees, and Compensation

ARQ Wealth Advisors, LLC, (“AWA”) is a Registered Investment Advisor based in Scottsdale, Arizona. Founded in 2008 by Richard Siegel and Gregory Yocum and formerly named Siegel/Yocum Asset Management, LLC, AWA is incorporated under the laws of the State of Arizona.

AWA provides personalized confidential financial planning and investment management to individuals, pension and profit sharing plans, trusts, estates, corporations and charitable organizations. Advice is provided through consultation with the client and may include: determination of financial objectives, identification of financial problems, cash flow management, tax planning, insurance review, investment management, education funding, retirement planning, and estate planning.

AWA is a fee-only investment advisory firm registered with the State of Arizona Securities Commission, and subject to its rules and regulations.

AWA does not maintain physical custody of client assets.

A written evaluation of each client's initial situation is provided to the client, often in the form of a net worth statement or risk analysis. Periodic reviews are also communicated to provide reminders of the specific courses of action that need to be taken. More frequent reviews occur but are not necessarily communicated to the client unless immediate changes are recommended.

A “wrap fee program” for purposes of the SEC is a program under which investment advisory and brokerage execution services are provided for a single “wrapped” fee that is not based on the transactions in a client account. AWA provides discretionary investment advisory services to some of its clients through a managed account program (“the Wrap Fee Program”). AWA will assist clients in determining the suitability of the AWA Wrap Fee Program for the client.

AWA offers a clearing platform to execute securities business for investment advisory services, including Wrap Fee Program services, through TD Ameritrade Institutional.

WRAP FEE PROGRAM

AWA’s Wrap Fee Program was offered as a part of the Asset Management Service described below. The Asset Management Service is also offered by AWA in a non-Wrap Fee Program. AWA no longer offers the Wrap Fee Program and this brochure is for clients that are currently under the program according the terms of their Client Agreement. AWA provides portfolio management services for this program based on the Client’s investment goals and objectives.

ASSET MANAGEMENT SERVICE

This service includes the management of the client's investment portfolio on an ongoing discretionary basis. This program includes financial planning analyses on an as needed basis, and it offers customized portfolio solutions and tactical investment management including retirement, estate, and income planning. The following services will also be provided:

Initial Services:

- Investment policy development
 - Financial goals establishment
 - Portfolio risk tolerance evaluation
- Specific investment recommendations
 - Personalized Asset Allocation Design
- Account establishment and transfer assistance

Long-Term Services:

- Ongoing portfolio monitoring and management
- Asset allocation and transaction recommendations
- Quarterly appraisals and performance reporting
- Quarterly market commentary and investment information
- Ongoing access to the advisor to assess life changes and financial issues
- Financial planning analyses as-needed
 - Net-Worth Analysis
 - Cash flow based retirement analysis
 - Cash flow based education funding analysis
 - Income tax analysis

For the Asset Management Service, there is a \$500,000 portfolio minimum.

FEES

Advisory fees are paid by the client in arrears on a quarterly basis. Fees for advisory accounts are charged to the client's advisory account. Fees are debited from the client's account from TD Ameritrade Institutional on the payment due date. Fees are negotiable at the discretion of the IAR generally, which may result in different fees being charged for accounts similar in makeup and objectives. Consideration may also be given to other accounts related to, or affiliated with the client, which may result in lower fees being charged for accounts similar in makeup and objectives.

The cost of these programs to you, if provided separately with the equivalent trading activity in the client account(s), may cost more or less than purchasing such services separately.

AWA's fee for the Wrap Fee Program is a flat fee of 1.25% annually, but may be negotiable depending on amount of assets under management, or other circumstances for which AWA warrants a negotiable amount.

If the Wrap Fee Program contains mutual funds, the client may incur additional mutual fund expense fees.

Item 5: Account Requirements and Types of Clients

AWA offers investment advisory services to individuals, pension and profit sharing plans, trusts, estates, charitable organizations, corporations, and other business entities. Generally for the services that AWA currently offers, a minimum of \$125,000 is required to open and maintain an advisory account. At our discretion, we may waive the minimum account size. For example, we may waive the minimum if the Client appears to have significant potential for increasing assets under management. AWA may also combine account values for the Client and minor children, joint accounts with a spouse, and other types of related accounts to meet the stated minimum.

Item 6: Portfolio Manager Selection and Evaluation

AWA acts as the portfolio managers for its Wrap Fee Program accounts. There are no conflicts of interest with this arrangement.

Types of Advisory Services

AWA provides investment supervisory services, also known as asset management services, and furnishes financial planning and investment advice through consultations. AWA provides investment advice and portfolio management services on a continuing basis, which may include the review of client investment objectives and goals, recommending asset allocation strategies of managed assets among cash, stocks, mutual funds and bonds and/or preparing written investment strategies. AWA provides investment advisory and other financial services through its Investment Advisory Representatives ("IAR") to accounts opened with AWA.

AWA's approach to the financial planning and asset management processes focuses on helping clients achieve their financial goals. We help our clients to develop, implement, and monitor a financial plan, incorporating the financial topics agreed upon by the client and advisor through a formal Needs Analysis. As a client's goals and objectives change, we will work together to modify their financial plan.

An important component of managing money is that the investment vehicle must be consistent with the investment time horizon. Clients may impose restrictions on investing in certain securities or types of securities.

AWA's management and methodologies do not differ between the Wrap Fee Program and the non-Wrap Fee Program services. A portion of the advisory fee charged for the Wrap Fee Program services is retained by AWA, while a portion of the advisory fee goes toward the payment of transaction costs.

Performance-Based Fees

Fees are not based on a share of the capital gains or capital appreciation of managed securities.

AWA does not use a performance-based fee structure because of the potential conflict of interest. Performance-based compensation may create an incentive for the adviser to recommend an investment that may carry a higher degree of risk to the client.

Methods of Analysis and Investment Strategies

Security analysis methods mainly include fundamental analysis. Other strategies may include long-term purchases, short-term purchases, trading, and option writing (including covered options, uncovered options or spreading strategies). We employ academically based Modern Portfolio Theory (MPT) as the foundation for developing our investment strategy. MPT is based on the notion that there is a way to combine different asset classes in order to optimize expected return with a given level of market risk.

The main sources of information include financial newspapers and magazines, research materials prepared by others, analyst conference calls, corporate rating services, annual reports, prospectuses, and filings with the Securities and Exchange Commission.

Investment Strategy and Method of Analysis Material Risks

The concept of the risk and return relationship is crucial when developing an investment strategy. A portfolio with greater risk attributes (volatility and credit risk) has historically outperformed a portfolio with lower risk attributes. It is imperative to determine the ideal risk/return relationship for each client based on their specific goals and risk tolerances. One of the greatest risks to a client's wealth is inflation. Therefore we believe that it is important that a client have exposure to equities, as they have proved to outpace inflation over time. Our firm feels that a client's portfolio needs to have a minimum of 20% in diversified equities.

Security Specific Material Risks

All investment programs have certain risks that are borne by the investor. Our investment approach constantly keeps the risk of loss in mind. Investors face the following investment risks:

- *Interest-rate Risk:* Fluctuations in interest rates may cause investment prices to fluctuate. For example, when interest rates rise, yields on existing bonds become less attractive, causing their market values to decline.

- *Market Risk:* The price of a security, bond, or mutual fund may drop in reaction to tangible and intangible events and conditions. This type of risk is caused by external factors independent of a security's particular underlying circumstances. For example, political, economic and social conditions may trigger market events.
- *Inflation Risk:* When any type of inflation is present, a dollar today will buy more than a dollar next year, because purchasing power is eroding at the rate of inflation.
- *Currency Risk:* Overseas investments are subject to fluctuations in the value of the dollar against the currency of the investment's originating country. This is also referred to as exchange rate risk.
- *Reinvestment Risk:* This is the risk that future proceeds from investments may have to be reinvested at a potentially lower rate of return (i.e. interest rate). This primarily relates to fixed income securities.
- *Business Risk:* These risks are associated with a particular industry or a particular company within an industry. For example, oil-drilling companies depend on finding oil and then refining it, a lengthy process, before they can generate a profit. They carry a higher risk of profitability than an electric company which generates its income from a steady stream of customers who buy electricity no matter what the economic environment is like.
- *Liquidity Risk:* Liquidity is the ability to readily convert an investment into cash. Generally, assets are more liquid if many traders are interested in a standardized product. For example, Treasury Bills are highly liquid, while real estate properties are not.
- *Financial Risk:* Excessive borrowing to finance a business' operations increases the risk of profitability, because the company must meet the terms of its obligations in good times and bad. During periods of financial stress, the inability to meet loan obligations may result in bankruptcy and/or a declining market value.

Proxy Votes

AWA has directed TD Ameritrade to have all proxy voting ballots sent to our clients. If a client already owned separate issue equities prior to working with AWA, we feel that the client has more expertise in voting for their equity holdings. The clients are additionally sent the proxy voting ballots on the mutual funds that have been recommended by our firm. AWA suggests clients make an independent decision on these proxy ballots.

Item 7: Client Information Provided to Portfolio Managers

AWA provides the portfolio management services for the Wrap Fee Program accounts. As such, AWA receives all information provided by the Client through a formal Needs Analysis and consultation with the Client. Advice is provided through consultation with the client and may include: determination of financial objectives, identification of financial problems, cash flow management, tax planning, insurance review, investment management, education funding, retirement planning, and estate planning.

Item 8: Client Contact with Portfolio Managers

There are no restrictions placed on AWA's clients' ability to contact and consult with their portfolio managers, since AWA acts as the portfolio managers.

Item 9: Additional Information

Criminal or Civil Actions

The firm and its management have not been involved in any criminal or civil action.

Administrative Enforcement Proceedings

The firm and its management have not been involved in administrative enforcement proceedings.

Self-Regulatory Organization Enforcement Proceedings

The firm and its management have not been involved in legal or disciplinary events related to past or present investment clients.

Broker-Dealer or Representative Registration

AWA is not registered as a broker-dealer, nor does it have any employees that are registered representatives of a broker-dealer.

Futures or Commodity Registration

Neither AWA nor its employees are registered or have an application pending to register as a futures commission merchant, commodity pool operator, or a commodity trading advisor.

Material Relationships Maintained by this Advisory Business and Conflicts of Interest

AWA acts as a sub-advisor to Advisors that select AWA for its asset management services. In these instances, an Advisor selects AWA to provide asset management

services for its clients, and for this service the Advisor shares a portion of their stated fees with AWA.

Recommendations or Selections of Other Investment Advisors and Conflicts of Interest

AWA does not recommend or select other investment advisors.

Code of Ethics Description

The employees of AWA have committed to a Code of Ethics. The purpose of our Code of Ethics is to ensure that when employees buy or sell securities for their personal account, they do not create actual or potential conflicts with our clients. We do not allow any employees to use non-public material information for their personal profit or to use internal research for their personal benefit in conflict with the benefit to our clients.

AWA's policy prohibits any person from acting upon or otherwise misusing non-public or inside information. No advisory representative or other employee, officer or director of AWA may recommend any transaction in a security or its derivative to advisory clients or engage in personal securities transactions for a security or its derivatives if the advisory representative possesses material, non-public information regarding the security.

AWA's Code of Ethics is based on the guiding principle that the interests of the client are our top priority. AWA's officers, directors, advisors, and other employees have a fiduciary duty to our clients and must diligently perform that duty to maintain the complete trust and confidence of our clients. When the potential for conflict arises, it is our obligation to put the client's interests over the interests of either employees or the company.

The Code of Ethics applies to "access" persons. "Access" persons are employees who have access to non-public information regarding any clients' purchase or sale of securities, or non-public information regarding the portfolio holdings of any reportable fund, who are involved in making securities recommendations to clients, or who have access to such recommendations that are non-public.

The firm will provide a copy of the Code of Ethics to any client or prospective client upon request.

Investment Recommendations Involving a Material Financial Interest and Conflict of Interest

AWA and its employees do not recommend to clients securities in which we have a material financial interest.

Advisory Firm Purchase of Same Securities Recommended to Clients and Conflicts of Interest

AWA and its employees may buy or sell securities that are also held by clients. It is the expressed policy of the advisor that no person employed by our firm purchase or

sell any security prior to the transaction being implemented for an advisory account; therefore, preventing such employees from benefiting from transactions placed on behalf of the advisory clients.

The advisor may have an interest or position in a certain security, which may also be recommended to the client. As these situations may present a conflict of interest, the advisor has established the following restrictions in order to ensure its fiduciary responsibilities:

1. A director, officer or employee of the advisor shall not buy or sell a security for their personal portfolio(s) where their decision is substantially derived, in whole or part, by reason of his or her employment, unless the information is also available to the investing public. No owner/employee of AWA Asset Management shall prefer their own interest to that of the client.
2. The advisor maintains a list of all securities held by the company and all directors, officers, and employees. These holdings are reviewed on a quarterly basis by the principal of the firm.
3. The advisor requires that all employees must act in accordance with all applicable Federal and State regulations governing registered investment advisors.
4. The advisor will not block personal trades with those of clients to ensure that clients are not at a disadvantage.

Client Securities Recommendations or Trades and Concurrent Advisory Firm Securities Transactions and Conflicts of Interest

AWA does not maintain a firm proprietary trading account and does not have a material financial interest in any securities being recommended and therefore no conflicts of interest exist.

Schedule for Periodic Review of Client Accounts or Financial Plans and Advisory Persons Involved

Portfolio reviews are performed quarterly by Richard Siegel or Gregory Yocum. Account reviews are performed more frequently when market conditions dictate. Financial Plans are considered complete when recommendations are delivered to the client.

Review of Client Accounts on Non-Periodic Basis

Other conditions that may trigger a review of clients' accounts are changes in the tax laws, new investment information, and changes in a client's own situation.

Content of Client Provided Reports and Frequency

Clients receive standard statements and confirmations from various companies serving as custodians for the clients' investment(s), i.e. investment companies, insurance companies, brokerage firms or others. The frequency of those reports depends upon the regular reporting procedures of these entities, provided by TD Ameritrade on a monthly basis. The advisor prepares quarterly investment appraisals and performance reports for clients. Additionally, clients receive specific

recommendations on their portfolio on a quarterly basis. The advisor provides general comments and investment information each quarter.

Economic benefits Provided to the Advisory Firm from External Sources and Conflicts of Interest

AWA does not receive any economic benefits from external sources.

Advisory Firm Payments for Client Referrals

AWA may enter into “Solicitor/Finder” relationships. These individual solicitors offer our services to the public. AWA pays a referral fee to the solicitor or finder based on its advisory fee and written agreement. Clients may pay higher or lower fees when working with a solicitor. The final fee schedule will be disclosed in the client agreement. AWA will charge the total fee to the client and pay the solicitor/finder their share of the total fee. Solicitor/finders will also be appropriately registered under federal and state securities laws where applicable. Client receives all related agreements and disclosures prior to or at the time of entering into an Investment Advisory Agreement.

Balance Sheet

A balance sheet is not required to be provided because AWA does not serve as a custodian for client funds or securities and AWA does not require prepayment of fees of more than \$500 per client and six months or more in advance.

Financial Conditions Reasonably Likely to Impair Advisory Firm’s Ability to Meet Commitments to Clients

AWA has no condition that is reasonably likely to impair our ability to meet contractual commitments to our clients.

Bankruptcy Petitions during the Past Ten Years

Neither AWA nor its management has had any bankruptcy petitions in the last ten years.

Item 10: Requirements for State Registered Advisors

Education and business background, including any outside business activities for all management and supervised persons can be found in the Supplement to this Brochure (part 2B of Form Adv Part 2).

Supervised Person Brochure

Part 2B of Form ADV

Richard A. Siegel CFP®

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This brochure supplement provides information about Richard A. Siegel that supplements ARQ Wealth Advisors, LLC's brochure. You should have received a copy of that brochure. Please contact Gregory C. Yocum II if you did not receive ARQ Wealth Advisors, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Richard A. Siegel is available on the SEC's website at www.adviserinfo.sec.gov.

Brochure Supplement (Part 2B of Form ADV)

Item 2 Education and Business Standards

Standards for new advisors include a bachelor's degree, a CFP designation, and prior investment and/or financial planning experience.

Professional Certifications

Employees have earned certifications and credentials that are required to be explained in further detail.

Certified Financial Planner (CFP): Certified Financial Planners are licensed by the CFP Board to use the CFP mark. CFP certification requirements:

- Bachelor's degree from an accredited college or university.
- Completion of the financial planning education requirements set by the CFP Board (www.cfp.net).
- Successful completion of the 10-hour CFP® Certification Exam.
- Three-year qualifying full-time work experience.
- Successfully pass the Candidate Fitness Standards and background check.
- When you achieve your CFP designation, you must renew your certification every year, pay \$360 certification fee and complete 30 hours of continuing education.

Educational Background:

- Year of birth: 1969
- Bachelor of Arts; State University of New York at Albany; 1991
- Certificate in Financial Planning; College for Financial Planning; 2001
- Certified in Financial Planning Licensee; 2001

Business Experience:

- ARQ Wealth Advisors, LLC formerly Siegel/Yocum Asset Management, LLC; Member/Investment Advisor Representative; 2008-Present
- The Vanguard Group; Senior Financial Planner; 1996-2008

Item 3 Disciplinary Information

None to report

Item 4 Other Business Activities

No other business activities.

Item 5 Additional Compensation

Richard A. Siegel does not receive any economic benefit from anyone, who is not a client, for providing advisory services.

Item 6 Supervision

Richard A. Siegel is supervised by Gregory C. Yocum, II. Mr. Yocum reviews Richard's work through frequent office interactions.

Item 7 Requirements for State-Registered Advisors

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Supervised Person Brochure

Part 2B of Form ADV

Gregory C. Yocum, II CFP®

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This brochure supplement provides information about Gregory C. Yocum, II that supplements ARQ Wealth Advisors, LLC's brochure. You should have received a copy of that brochure. Please contact Gregory C. Yocum, II if you did not receive ARQ Wealth Advisors, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Gregory C. Yocum, II is available on the SEC's website at www.adviserinfo.sec.gov.

Brochure Supplement (Part 2B of Form ADV)

Item 2 Education and Business Standards

Standards for new advisors include a bachelor's degree, a CFP designation, and prior investment and/or financial planning experience.

Professional Certifications

Employees have earned certifications and credentials that are required to be explained in further detail.

Certified Financial Planner (CFP): Certified Financial Planners are licensed by the CFP Board to use the CFP mark. CFP certification requirements:

- Bachelor's degree from an accredited college or university.
- Completion of the financial planning education requirements set by the CFP Board (www.cfp.net).
- Successful completion of the 10-hour CFP® Certification Exam.
- Three-year qualifying full-time work experience.
- Successfully pass the Candidate Fitness Standards and background check.
- When you achieve your CFP designation, you must renew your certification every year, pay \$360 certification fee and complete 30 hours of continuing education.

Educational Background:

- Year of birth: 1975
- Bachelor of Arts, Business Administration; Northern Arizona University; 1997
- Certificate in Financial Planning; College for Financial Planning; 2003
- Certified in Financial Planning Licensee; 2004

Business Experience:

- ARQ Wealth Advisors, LLC formerly Siegel/Yocum Asset Management, LLC; Member/Investment Advisor Representative; 2008-Present
- The Vanguard Group; Senior Financial Planner; 1998-2008

Item 3 Disciplinary Information

None to report

Item 4 Other Business Activities

No other business activities.

Item 5 Additional Compensation

Gregory C. Yocum II does not receive any economic benefit from anyone, who is not a client, for providing advisory services.

Item 6 Supervision

Gregory C. Yocum, II is supervised by Richard Siegel. Mr. Siegel reviews Gregory's work through frequent office interactions.

Item 7 Requirements for State-Registered Advisors

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Brochure Supplement

Part 2B of Form ADV

James N. Robinson

**James N. Robinson
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This brochure supplement provides information about James N. Robinson that supplements ARQ Wealth Advisors, LLC's brochure. You should have received a copy of that brochure. Please contact Gregory C. Yocum, II if you did not receive ARQ Wealth Advisors, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about James N. Robinson is available on the SEC's website at www.adviserinfo.sec.gov.

Brochure Supplement (Part 2B of Form ADV)

Investment Advisor Representative

Name James N. Robinson

- Year of birth: 1974

Item 2 Educational Background and Business Experience

Educational Background:

- University of Texas at El Paso, Major: Psychology/Business Management, Graduated 2004.

Business Experience:

- ARQ Wealth Advisors, LLC formerly Siegel/Yocum Asset Management, LLC, Investment Advisor Representative, September 2014 - Present
- Trajan Wealth, LLC, Investment Advisor Representative, April 2014 – September 2014
- Financial Independence Group, Inc., Marketing Consultant – Annuity Division, January 2004 – February 2014.

Item 3 Disciplinary Information

Mr. Robinson does not have any reportable disciplinary disclosures.

Item 4 Other Business Activities

James N. Robinson is a licensed insurance agent. Not more than 20% of his time is spent on these activities. From time to time, he offers clients advice or products from those activities. He may receive separate yet typical compensation in the form of commissions for the sale of insurance products.

These practices represent a conflict of interest because it gives Mr. Robinson an incentive to recommend products based on the commission amount received. This conflict is mitigated by the fact that Mr. Robinson has a fiduciary responsibility to place the best interest of the client first and the clients are not required to purchase any products. Clients have the option to purchase these products through another insurance agent of their choosing.

Item 5 Additional Compensation

James N. Robinson does not receive any economic benefit from anyone, who is not a client, for providing advisory services.

Item 6 Supervision

Gregory C. Yocum II, Partner and Chief Compliance Officer of ARQ Wealth Advisors, LLC, and Richard Siegel, Partner and Managing Principal of ARQ Wealth Advisors, LLC are responsible for the supervision of James N. Robinson.

Item 7 Requirements for State-Registered Advisors

James N. Robinson does not have any reportable disciplinary events required to be disclosed in this section.