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Patriot Wealth Management, Inc.  
SEC File Number: 801-62779  
Brochure: Dated September 30, 2015

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**PATRIOT WEALTH MANAGEMENT, INC.**  
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This brochure provides information about the qualifications and business practices of Patriot Wealth Management, Inc. (the "Registrant"). If you have any questions about the contents of this brochure, please contact us at (713) 344-9303 or [compliance@patriotwealth.com](mailto:compliance@patriotwealth.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 Patriot Wealth Management, Inc. also is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## Item 1 – Material Changes

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Since our initial delivery or posting of this document on the SEC's public disclosure website (IAPD) [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) we have made the following changes:

*September, 2012* – Updated Section 14 to include information regarding Patriot's participation in the Fidelity referral program and the date of this Brochure.

*January, 2013* – Updated ADV Part 2A to change address from 5847 San Felipe to 1800 Bering, Houston, Texas.

*January, 2013* – Updated Section 10C to reflect the withdrawal of Lexington Asset Management, Inc. (LAM) a wholly owned affiliate, from SEC registration.

*July, 2013* – Updated ADV Part 2B to remove Charles Scavone and add Robert Leslie

*August, 2014* – Updated ADV Part 2B to include Retirement Plan Consulting under Fees and Compensation.

If you would like another copy of this Brochure, please download it from the SEC Website as indicated above or you may contact our Chief Compliance Officer, Todd Hanslik at (713) 344-9303 or [compliance@patriotwealth.com](mailto:compliance@patriotwealth.com)

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## Item 3 – Advisory Business

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- A. Patriot Wealth Management, Inc. (the “Registrant”) is a corporation formed on February 18, 2004, in the State of Texas. Additionally, the Registrant became registered as an Investment Adviser Firm in February 2004. The Registrant is principally owned by Todd Hanslik, Jeffrey Swantkowski, Dana Weinstein, Anna Jones, and Billie Murski. This same group comprises the Registrant’s Principals.

As discussed below, the Registrant offers to its clients (individuals, profit sharing plans, business entities, trusts, estates and charitable organizations, etc.) investment advisory services, and, **to the extent specifically requested by a client**, comprehensive financial planning and related consulting services.

### INVESTMENT ADVISORY SERVICES

The client can engage the Registrant to provide discretionary investment advisory services on a *fee-only* basis. In most instances, the Registrant’s annual investment advisory fee is based upon a percentage (%) of the market value of the assets placed under the Registrant’s management. In limited situations, a flat fee may be negotiated for investment advisory services.

Registrant’s annual investment advisory fee shall include investment advisory services, and, to the **extent specifically requested** by the client, financial planning and consulting services. In the event that the client requires extraordinary planning and/or consultation services (to be determined in the sole discretion of the Registrant), the Registrant may determine to charge for such additional services, the dollar amount of which shall be set forth in a separate written agreement with the client.

### FINANCIAL PLANNING AND CONSULTING SERVICES (STAND-ALONE)

**To the extent specifically requested by a client**, the Registrant *may* provide financial planning and/or consulting services (including investment and non-investment related matters, including estate planning, insurance planning, etc.) on a stand-alone separate fee basis. Prior to engaging the Registrant to provide planning or consulting services, clients are generally required to enter into a *Financial Advisory Agreement* with Registrant setting forth the terms and conditions of the engagement (including termination), describing the scope of the services to be provided, and the portion of the fee that is due from the client prior to Registrant commencing services. If requested by the client, Registrant may recommend the services of other professionals for implementation purposes. The client is under no obligation to engage the services of any such recommended professional. The client retains absolute discretion over all such implementation decisions and is free to accept or reject any recommendation from the Registrant.

**Please Note:** If the client engages any such recommended professional and a dispute arises thereafter relative to such engagement, the client agrees to seek recourse exclusively from and against the engaged professional.

**Please Also Note:** It remains the client’s responsibility to promptly notify the Registrant if there is ever any change in his/her/its financial situation or investment objectives for the purpose of reviewing/evaluating/revising Registrant’s previous recommendations and/or services.

## RETIREMENT PLAN CONSULTING

**To the extent specifically requested by the Plan sponsor,** the Registrant may review for and/or with the Plan sponsor the selection of investment alternatives for Plan participants to consider and choose from. Additionally, the Registrant may provide general informational materials and educational sessions to Plan participants, so as to enable each participant to direct the investment selection for his/her own Plan retirement account. The Registrant does not provide initial or ongoing individual personalized investment advice to Plan participants. Accordingly, no Plan participant should assume that any general informational materials or educational sessions devised and/or provided by the Registrant serve as the receipt of, or as a substitute for, personalized investment advice from the Registrant, or from any other investment professional. To the extent that any participant requires initial or ongoing personalized investment advice, he/she is encouraged to consult with the investment professional of his/her choosing.

**Please Note:** to the extent specifically engaged to do so by the Sponsor, the Registrant is to monitor each investment provided under the Plan on annual basis, review trustee recommendations for additions/deletions thereto, and review alternative plan custodian and/or trustee providers.

**Please Also Note:** In performing its services, Registrant shall not perform any Third Party Administration, Legal and Accounting services including, but not limited to Plan amendments, government filings and decisions to amend or terminate the Plan. Furthermore, the Registrant shall not recommend any investment alternatives or asset allocation programs outside those specifically recommended by the Plan Trustee, vote Proxies or undertake any other fund sponsor/corporate actions/legal proceedings.

## NON-INVESTMENT CONSULTING /IMPLEMENTATION SERVICES

**To the extent requested by the client,** the Registrant may provide consulting services regarding non-investment related matters, such as estate planning, tax planning, insurance, and other financial planning contingencies. Neither the Registrant, nor any of its representatives, serves as an accountant or licensed insurance agent, and no portion of the Registrant's services should be construed as same. **To the extent requested by a client,** the Registrant may recommend the services of other professionals for certain non-investment implementation purposes (i.e., attorneys, accountants, insurance, etc.). The client is under no obligation to engage the services of any such recommended professional. The client retains absolute discretion over all such implementation decisions and is free to accept or reject any recommendation from the Registrant.

**Please Note:** If the client engages any such recommended professional, and a dispute arises thereafter relative to such engagement, the client agrees to seek recourse exclusively from and against the engaged professional.

**Please Also Note:** It remains the client's responsibility to promptly notify the Registrant if there is ever any change in his/her/its financial situation or investment objectives for the purpose of reviewing/evaluating/revising Registrant's previous recommendations and/or services.

**Please Also Note:** While Registrant's representatives, Jeff Swankowski and Dana Weinstein, are licensed attorneys, they do not provide legal services to Registrant's clients and no attorney-client relationships exist.

## MISCELLANEOUS

**Sub-Advisory Arrangements.** The Registrant may engage sub-advisors for the purpose of assisting the Registrant with the management of its client accounts. The sub-advisor(s) shall have discretionary authority for the day-to-day management of the assets that are allocated to it by the Registrant. The sub-advisor shall continue in such capacity until such arrangement is terminated or modified by the Registrant. The Registrant may pay a portion of the investment advisory fee received for these allocated assets to the sub-advisor for its sub-advisory services. Alternatively, the Registrant may act as a sub-advisor to other Registered Investment Advisors.

**The Registrant's Chief Compliance Officer, Todd Hanslik, remains available to address any questions concerning the Registrant's sub-advisory arrangements.**

**Trade Error Policy.** Registrant shall reimburse accounts for losses resulting from the Registrant's trade errors, but shall not credit accounts for such errors resulting in market gains. The gains and losses are reconciled within the Registrant's custodian firm account and Registrant retains the net gains and losses.

**Client Obligations.** In performing its services, Registrant shall not be required to verify any information received from the client or from the client's other professionals, and is expressly authorized to rely thereon. Moreover, each client is advised that it remains their responsibility to promptly notify the Registrant if there is ever any change in their financial situation or investment objectives for the purpose of reviewing/evaluating/revising Registrant's previous recommendations and/or services.

**Disclosure Statement.** A copy of the Registrant's written Brochure as set forth on Part 2A of Form ADV shall be provided to each client prior to, or contemporaneously with, the execution of the *Investment Management Agreement or Financial Advisory Agreement*. Any client who has not received a copy of Registrant's written Brochure at least 48 hours prior to executing either or both agreements shall have five business days subsequent to executing the agreement to terminate the Registrant's services without penalty.

- B. The Registrant shall provide investment advisory services specific to the needs of each client. Prior to providing investment advisory services, an investment adviser representative will ascertain each client's investment objective(s). Thereafter, the Registrant shall allocate and/or recommend that the client allocate investment assets consistent with the designated investment objective(s) taking into consideration the client's investment experience, risk tolerance, time horizon, and other factors specific to that client. The client may, at anytime, impose reasonable restrictions, in writing, on the Registrant's services.

When the Registrant provides financial planning services, it is based upon information provided by the client. The Registrant shall provide advice to the client regarding personal finance and specific areas of concern for the client generally including personal financial statement, cash flow and income tax projection, education analysis, life insurance analysis, investment review with specific recommendations for change, employee benefit review and analysis, estate planning and beneficiary designation alignment. In making these recommendations the Registrant considers a variety of factors including the client's current financial and family situation, the client's goals, time horizon, available options, etc.

- C. The Registrant does not participate in a wrap fee program.

- D. As of December 31, 2014, based on trade date, the Registrant had \$1.127 billion in assets under management on a discretionary basis and \$118 million in assets under management on a non-discretionary basis.

## Item 4 – Fees and Compensation

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- A. The client can engage the Registrant to provide discretionary investment advisory services on a *fee-only* basis.

### INVESTMENT ADVISORY SERVICES

If a client determines to engage the Registrant to provide discretionary investment advisory services on a *fee-only* basis, the Registrant's standard annual investment advisory fee shall be based upon a percentage (%) of the market value and type of assets placed under the Registrant's management (between 0.60% and 1.00 %) as follows:

<u>Market Value of Portfolio</u>	<u>% of Assets</u>
First 2 Million	1.00%
Next 3 Million	0.85%
Over 5 Million	0.60%

Registrant's annual investment advisory fee shall include investment advisory services, and, to the **extent specifically requested** by the client, financial planning and consulting services. In the event that the client requires extraordinary planning and/or consultation services (to be determined in the sole discretion of the Registrant), the Registrant may determine to charge for such additional services, the dollar amount of which shall be set forth in a separate written agreement with the client.

A discount to the Registrant's standard fee schedule may be considered based on a number of variables such as anticipated future earning capacity, anticipated future additional assets, dollar amount of assets to be managed, related accounts, account composition, negotiations with client, etc.

### FINANCIAL PLANNING AND CONSULTING SERVICES (STAND-ALONE)

**To the extent specifically requested by a client**, the Registrant *may* determine to provide financial planning and/or consulting services (including investment and non-investment related matters, estate planning, insurance planning, etc.) on a stand-alone fee basis. Registrant's planning and consulting fees are negotiable, but generally range from \$4,000 to \$150,000 on a fixed fee basis, and from \$150 to \$300 on an hourly rate basis, depending upon the level and scope of the service(s) required and the professional(s) rendering the service(s).

### RETIREMENT PLAN CONSULTING

If a Plan sponsor determines to engage the Registrant, the Registrant *may* provide consulting services on a stand-alone fee basis. The Registrant's consulting fees are negotiable, but generally range from \$5,000 to \$30,000 annually and shall be paid in arrears. Unless otherwise indicated, the only source of compensation to be received by the Registrant shall come from the Plan sponsor or Plan in accordance with the negotiated fees.

- B. It is standard operating procedure to deduct fees derived from Investment Advisory Services from client custodial accounts by the Registrant. Both Registrant's *Investment Management Agreement* and the custodial/clearing agreement may authorize the custodian to debit the account for the amount of the Registrant's investment advisory fee and to directly remit that management fee to the Registrant in compliance with applicable regulations. In the limited event that the Registrant bills the client directly, payment is due upon receipt of the Registrant's invoice. The Registrant shall deduct fees and/or bill clients quarterly in advance, based upon the market value of the assets on the last business day of the previous quarter.

Fees derived from primarily Financial Planning and Consulting Services are billed directly to the client and are due upon receipt of the Registrant's invoice. Only with previous written client consent, can these fees be deducted from the client's custodial account by the Registrant.

- C. Unless the client directs otherwise or an individual client's circumstances require, the Registrant shall generally recommend that Fidelity Investments ("*Fidelity*"), Merrill Lynch, or UBS serve as the broker-dealer/custodian for client investment management assets. Broker-dealers such as *Fidelity*, Merrill Lynch, or UBS charge brokerage commissions and/or transaction fees for effecting certain securities transactions (i.e., transaction fees are charged for certain no-load mutual funds, commissions may be charged for individual equity and fixed income securities transactions). In addition to Registrant's investment management fee, brokerage commissions and/or transaction fees, clients will also incur, relative to all mutual fund and exchange traded fund purchases, charges imposed at the fund level (e.g. management fees and other fund expenses). When beneficial to the client, individual fixed-income and/or equity transactions may be effected through broker-dealers with whom Registrant and/or the client have entered into arrangements for prime brokerage clearing services, including effecting certain client transactions through other SEC registered and FINRA member broker-dealers (in which event, the client generally will incur both the transaction fee charged by the executing broker-dealer and a "tradeaway" fee charged by *Fidelity*, Merrill Lynch, or UBS).
- D. Registrant's annual investment advisory fee shall be prorated and paid quarterly, in advance, based upon the market value of the assets on the last business day of the previous quarter. The Registrant generally requires an annual minimum fee of \$2,500.

The Registrant generally requires a minimum asset level of \$250,000 for investment advisory services. The Registrant, in its sole discretion, may charge a lesser investment management fee (or charge a flat fee) and/or reduce or waive its minimum asset requirement based upon certain criteria (i.e., anticipated future earning capacity, anticipated future additional assets, dollar amount of assets to be managed, related accounts, account composition, negotiations with client, etc.)

The *Investment Management Agreement* between the Registrant and the client will continue in effect until terminated by either party by written notice in accordance with the terms of the *Investment Management Agreement*. Upon termination, the Registrant shall refund the pro-rated portion of the advanced advisory fee paid based upon the number of days remaining in the billing quarter.

- E. Neither the Registrant, nor its representatives accept compensation from the sale of securities or other investment products.



## Item 5 – Performance-Based Fees and Side-by-Side Management

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Neither the Registrant nor any supervised person of the Registrant accepts performance-based fees.

## Item 6 – Types of Clients

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The Registrant's clients shall generally include individuals, profit sharing plans, business entities, trusts, estates and charitable organizations. The Registrant generally requires an annual minimum fee of \$2,500. The Registrant generally requires a minimum asset level of \$250,000 for investment advisory services. The Registrant, in its sole discretion, may charge a lesser investment management fee (or charge a flat fee) and/or reduce or waive its minimum asset requirement based upon certain criteria (i.e., anticipated future earning capacity, anticipated future additional assets, dollar amount of assets to be managed, related accounts, account composition, negotiations with client, etc.)

## Item 7 – Methods of Analysis, Investment Strategies and Risk of Loss

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A. The Registrant may utilize the following methods of security analysis:

- *Charting* - (analysis performed using patterns to identify current trends and trend reversals to forecast the direction of prices)
- *Fundamental* - (analysis performed on historical and present data, with the goal of making financial forecasts)
- *Technical* – (analysis performed on historical and present data, focusing on price and trade volume, to forecast the direction of prices)
- *Cyclical* – (analysis performed on historical relationships between price and market trends, to forecast the direction of prices)

The Registrant may utilize the following investment strategies when implementing investment advice given to clients:

- *Long Term Purchases* (securities held at least a year)
- *Short Term Purchases* (securities sold within a year)
- *Trading* (securities sold within thirty (30) days)

**Please Note: Investment Risk.** Different types of investments involve varying degrees of risk, and it should not be assumed that future performance of any specific investment or investment strategy (including the investments and/or investment strategies recommended or undertaken by the Registrant) will be profitable or equal any specific performance level(s).

B. The Registrant's methods of analysis and investment strategies do not present any significant or unusual risks.

However, every method of analysis has its own inherent risks. To perform an accurate market analysis the Registrant must have access to current/new market information. The Registrant has no control over the dissemination rate of market information; therefore, unbeknownst to the Registrant, certain analyses may be compiled with outdated market information, severely limiting the value of the Registrant's analysis. Furthermore, an

accurate market analysis can only produce a forecast of the direction of market values. There can be no assurances that a forecasted change in market value will materialize into actionable and/or profitable investment opportunities.

The Registrant's primary investment strategies - Long Term Purchases, Short Term Purchases, and Trading - are fundamental investment strategies. However, every investment strategy has its own inherent risks and limitations. For example, longer term investment strategies require a longer investment time period to allow for the strategy to potentially develop. Shorter term investment strategies require a shorter investment time period to potentially develop but, as a result of more frequent trading, may incur higher transactional costs when compared to a longer term investment strategy. Trading, an investment strategy that requires the purchase and sale of securities within a thirty (30) day investment time period, involves a very short investment time period but will incur higher transaction costs when compared to a short term investment strategy and substantially higher transaction costs than a longer term investment strategy.

In very limited client specific situations, the Registrant may also implement and/or recommend – short selling, use of margin, and/or options transactions. Each of these strategies has a high level of inherent risk. *(See discussion below)*

Short selling is an investment strategy with a high level of inherent risk. Short selling, involves the selling of assets that the investor does not own. The investor borrows the assets from a third party lender (i.e., Broker-Dealer) with the obligation of buying identical assets at a later date to return to the third party lender. Individuals who engage in this activity shall only profit from a decline in the price of the assets between the original date of sale and the date of repurchase. Conversely, the short seller will incur a loss if the price of the assets rises. Other costs of shorting may include a fee for borrowing the assets and payment of any dividends paid on the borrowed assets.

Margin is an investment strategy with a high level of inherent risk. A margin transaction occurs when an investor uses borrowed assets to purchase financial instruments.

The investor generally obtains the borrowed assets by using other securities as collateral for the borrowed sum. The effect of purchasing a security using margin is to magnify any gains or losses sustained by the purchase of the financial instruments on margin.

**Please note:** To the extent that a client authorizes the use of margin, and margin is thereafter employed by the Registrant in the management of the client's investment portfolio, the market value of the client's account and corresponding fee payable by the client to the Registrant may be increased. As a result, in addition to understanding and assuming the additional principal risks associated with the use of margin, clients authorizing margin are advised of the potential **conflict of interest** whereby the client's decision to employ margin *may* correspondingly increase the management fee payable to the Registrant. Accordingly, the decision as to whether to employ margin is left to the discretion of client.

The use of options transactions as an investment strategy involves a high level of inherent risk. Option transactions establish a contract between two parties concerning the buying or selling of an asset at a predetermined price during a specific period of time. During the term of the option contract, the buyer of the option gains the right to demand fulfillment by the seller. Fulfillment may take the form of either selling or purchasing a security depending upon the nature of the option contract. Generally, the purchase or the

recommendation to purchase an option contract by the Registrant shall be with the intent of offsetting/hedging a potential market risk in a client's portfolio.

**Please Note:** Although the intent of the options-related transactions that may be implemented by the Registrant is to hedge against principal risk, certain of the options-related strategies (i.e., straddles, short positions, etc.) may, in and of themselves, produce principal volatility and/or risk. Thus, a client must be willing to accept these enhanced volatility and principal risks associated with such strategies. In light of these enhanced risks, client may direct the Registrant, in writing, not to employ any or all such strategies for his/her/their/its accounts.

- C. The Registrant primarily allocates client investment assets among various individual equity (stocks), fixed income securities, and mutual funds and/or exchange traded funds ("ETFs"), on a discretionary basis in accordance with the client's designated investment objective(s).

## Item 8 – Disciplinary Information

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The Registrant has not been the subject of any disciplinary actions.

## Item 9 – Other Financial Industry Activities and Affiliations

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- A. Neither the Registrant, nor its representatives, are registered or have an application pending to register, as a broker-dealer or a registered representative of a broker-dealer.
- B. Neither the Registrant, nor its representatives, are registered or have an application pending to register, as a futures commission merchant, commodity pool operator, a commodity trading advisor, or a representative of the foregoing.
- C. Neither the Registrant, nor its representatives, have any outside material business arrangements with related persons or parties.

**The Registrant's Chief Compliance Officer, Todd Hanslik, remains available to address any questions that a client or prospective client may have regarding the above.**

- D. The Registrant does not receive, directly or indirectly, compensation from investment advisors that it recommends or selects for its clients

## Item 10 – Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

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- A. The Registrant maintains an investment policy relative to personal securities transactions. This investment policy is part of Registrant's overall Code of Ethics, which serves to establish a standard of business conduct for all of Registrant's Representatives that is based upon fundamental principles of openness, integrity, honesty and trust, a copy of which is available upon request.

In accordance with Section 204A of the Investment Advisers Act of 1940, the Registrant also maintains and enforces written policies reasonably designed to prevent the misuse of material non-public information by the Registrant or any person associated with the Registrant.

- B. Neither the Registrant nor any related person of Registrant recommends, buys, or sells for client accounts, securities in which the Registrant or any related person of Registrant has a material financial interest.
- C. The Registrant and/or representatives of the Registrant *may* buy or sell securities that are also recommended to clients. This practice may create a situation where the Registrant and/or representatives of the firm are in a position to materially benefit from the sale or purchase of those securities. Therefore, this situation creates a potential conflict of interest. Practices such as “scalping” (i.e., a practice whereby the owner of shares of a security recommends that security for investment and then immediately sells it at a profit upon the rise in the market price which follows the recommendation) could take place if the Registrant did not have adequate policies in place to detect such activities. In addition, this requirement can help detect insider trading, “front-running” (i.e., personal trades executed prior to those of the Registrant’s clients) and other potentially abusive practices.

In an effort to minimize any conflicts of interest, the Registrant limits its employees to investing in the following assets classes:

- Open-end mutual funds
- Electronically Traded Funds (ETFs)
- Individual Bonds (limited to 35 in size)

This investment policy has been established recognizing that some securities being considered for purchase and sale on behalf of Registrant’s clients trade in sufficiently broad markets to permit transactions to be completed without any appreciable impact on the markets of the securities.

The Registrant has a personal securities transaction policy in place to monitor the personal securities transactions and securities holdings of each of the Registrant’s “Access Persons”. The Registrant’s securities transaction policy requires that Access Person of the Registrant must provide the Chief Compliance Officer or his/her designee with a written report of the their current securities holdings within ten (10) days after becoming an Access Person. Additionally, each Access Person must provide the Chief Compliance Officer or his/her designee with a written report of the Access Person’s current securities holdings at least once each twelve (12) month period thereafter on a date the Registrant selects; provided, however that at any time that the Registrant has only one Access Person, he or she shall not be required to submit any securities report described above.

- D. The Registrant and/or representatives of the Registrant *may* buy or sell securities, at or around the same time as those securities are recommended to clients. This practice creates a situation where the Registrant and/or representatives of the Registrant are in a position to materially benefit from the sale or purchase of those securities. Therefore, this situation creates a potential conflict of interest. As indicated above in Item 11 C, the Registrant has a personal securities transaction policy in place to monitor the personal securities transaction and securities holdings of each of Registrant’s Access Persons.

## Item 11 – Brokerage Practices

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- A. In the event that the client requests that the Registrant recommend a broker-dealer/custodian for execution and/or custodial services (exclusive of those clients that may direct the Registrant to use a specific broker-dealer/custodian), Registrant generally recommends that investment management accounts be maintained at *Fidelity*, Merrill

Lynch, or UBS. Prior to engaging Registrant to provide investment management services, the client will be required to enter into a formal *Investment Management Agreement* with Registrant setting forth the terms and conditions under which Registrant shall manage the client's assets, and a separate custodial/clearing agreement with each designated broker-dealer/custodian.

Factors that the Registrant considers in recommending *Fidelity*, Merrill Lynch, or UBS (or any other broker-dealer/custodian to clients) include historical relationship with Registrant, financial strength, reputation, execution capabilities, pricing, research, and service. Although the commissions and/or transaction fees paid by Registrant's clients shall comply with the Registrant's duty to obtain best execution, a client may pay a commission that is higher than another qualified broker-dealer might charge to effect the same transaction where the Registrant determines, in good faith, that the commission/transaction fee is reasonable in relation to the value of the brokerage and research services received. In seeking best execution, the determinative factor is not the lowest possible cost, but whether the transaction represents the best qualitative execution, taking into consideration the full range of broker-dealer services, including the value of research provided, execution capability, commission rates, and responsiveness. Accordingly, although Registrant will seek competitive rates, it may not necessarily obtain the lowest possible commission rates for client account transactions. The brokerage commissions or transaction fees charged by the designated broker-dealer/custodian are exclusive of, and in addition to, Registrant's investment management fee. The Registrant's best execution responsibility is qualified if securities that it purchases for client accounts are mutual funds that trade at net asset value as determined at the daily market close.

## 1. Research and Additional Benefits

Although not a material consideration when determining whether to recommend that a client utilize the services of a particular broker-dealer/custodian, Registrant may receive from *Fidelity*, Merrill Lynch, or UBS (or another broker-dealer/custodian) without cost (and/or at a discount) support services and/or products, certain of which assist the Registrant to better monitor and service client accounts maintained at such institutions. Included within the support services that may be obtained by the Registrant may be investment-related research, pricing information and market data, software and other technology that provide access to client account data, compliance and/or practice management-related publications, discounted consulting services, discounted and/or gratis attendance at industry conferences, meetings, and other educational events, marketing support, computer software and/or other products used by Registrant in furtherance of its investment advisory business operations.

As indicated above, certain of the support services and/or products that *may* be received may assist the Registrant in managing and administering client accounts. Others do not directly provide such assistance, but rather assist the Registrant to manage and further develop its business enterprise.

Registrant's clients do not pay more for investment transactions effected and/or assets maintained at *Fidelity*, Merrill Lynch, or UBS as a result of this arrangement. There is no corresponding commitment made by the Registrant to *Fidelity*, Merrill Lynch, or UBS or any other any entity to invest any specific amount or percentage of client assets in any specific mutual funds, securities or other investment products as result of the above arrangement.

**The Registrant's Chief Compliance Officer, Todd Hanslik, remains available to address any questions that a client or prospective client may have regarding the above arrangement and any corresponding perceived conflict of interest such arrangement may create.**

2. The Registrant does participate in a referral program with *Fidelity* retail branches. The Registrant neither receives nor pays any compensation in exchange for participation.
3. The Registrant does not generally accept directed brokerage arrangements (when a client requires that account transactions be effected through a specific broker-dealer). In such client directed arrangements, the client will negotiate terms and arrangements for their account with that broker-dealer, and Registrant will not seek better execution services or prices from other broker-dealers and is unable to "batch" the client's transactions for execution through other broker-dealers with orders for other accounts managed by Registrant. As a result, client may pay higher commissions or other transaction costs or greater spreads, or receive less favorable net prices, on transactions for the account.

**Please Note:** In the event that the client directs Registrant to effect securities transactions for the client's accounts through a specific broker-dealer, the client correspondingly acknowledges that such direction may cause the accounts to incur higher commissions or transaction costs than the accounts would otherwise incur had the client determined to effect account transactions through alternative clearing arrangements that may be available through Registrant.

**The Registrant's Chief Compliance Officer, Todd Hanslik, remains available to address any questions that a client or prospective client may have regarding the above arrangement.**

- B. To the extent that the Registrant provides investment management services to its clients, the transactions for each client account generally will be effected independently, unless the Registrant decides to purchase or sell the same securities for several clients at approximately the same time. The Registrant may (but is not obligated to) combine or "bunch" such orders to obtain best execution, to negotiate more favorable commission rates or to allocate equitably among the Registrant's clients differences in prices and commissions or other transaction costs that might have been obtained had such orders been placed independently. Under this procedure, transactions will be averaged as to price and will be allocated among clients in proportion to the purchase and sale orders placed for each client account on any given day. The Registrant shall not receive any additional compensation or remuneration as a result of such aggregation.

## Item 12 – Review of Accounts

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- A. For those clients to whom Registrant provides investment supervisory services, account reviews are conducted on an ongoing basis by the Registrant's Principals and/or representatives. All investment supervisory clients are advised that it remains their responsibility to advise the Registrant of any changes in their investment objectives and/or financial situation. All clients (in person or via telephone) are encouraged to review



financial planning issues (to the extent applicable), investment objectives and account performance with the Registrant on an annual basis.

- B. The Registrant **may** conduct account reviews on an other than periodic basis upon the occurrence of a triggering event, such as a change in client investment objective and/or financial situation, market corrections and client request.
- C. Clients are provided, at least quarterly, with written transaction confirmation notices and regular written summary account statements directly from the broker-dealer/custodian and/or program sponsor for the client accounts. The Registrant may also provide a written periodic report summarizing account activity and performance.

## Item 13 – Client Referrals and Other Compensation

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- A. As referenced in Item 12.A.1, the Registrant may receive an indirect economic benefit from Fidelity, Merrill Lynch, or UBS. The Registrant, without cost (and/or at a discount), may receive support services and/or products from Fidelity, Merrill Lynch, or UBS.

Registrant's clients do not pay more for investment transactions effected and/or assets maintained at Fidelity, Merrill Lynch, or UBS as a result of this arrangement. There is no corresponding commitment made by the Registrant to Fidelity, Merrill Lynch, or UBS or any other any entity to invest any specific amount or percentage of client assets in any specific mutual funds, securities or other investment products as result of the above arrangement.

**The Registrant's Chief Compliance Officer, Todd Hanslik, remains available to address any questions that a client or prospective client may have regarding the above arrangement and any corresponding perceived conflict of interest any such arrangement may create.**

- B. If a client is introduced to the Registrant by either an unaffiliated or an affiliated solicitor, Registrant **may** pay that solicitor a referral fee in accordance with the requirements of Rule 206(4)-3 of the Investment Advisers Act of 1940, and any corresponding state securities law requirements. Any such referral fee shall be paid solely from the Registrant's investment management fee, and shall not result in any additional charge to the client. If the client is introduced to the Registrant by an unaffiliated solicitor, the solicitor, at the time of the solicitation, shall disclose the nature of his/her/its solicitor relationship, and shall provide each prospective client with a copy of the Registrant's written Brochure with a copy of the written disclosure statement from the solicitor to the client disclosing the terms of the solicitation arrangement between the Registrant and the solicitor, including the compensation to be received by the solicitor from the Registrant.

### **Participation in Fidelity Wealth Advisor Solutions®.**

Registrant participates in the Fidelity Wealth Advisor Solutions Program (the "WAS Program"), through which the Registrant receives referrals from Strategic Advisers, Inc. ("SAI"), a registered investment adviser and subsidiary of FMR LLC, the parent company of Fidelity Investments. Registrant is independent and not affiliated with SAI or FMR LLC. SAI does not supervise or control Registrant and SAI has no responsibility or oversight for Registrant provision of investment management or other advisory services.

Under the WAS Program, SAI acts as a solicitor for Registrant, and Registrant pays referral fees to SAI for each referral received based on Registrant's assets under

management attributable to each client referred by SAI or members of each client's household. The WAS Program is designed to help investors find an independent investment advisor, and any referral from SAI to Registrant does not constitute a recommendation or endorsement by SAI of Registrant's particular investment management services or strategies. More specifically, Registrant pays the following amounts to SAI for referrals:

For a period of 7 years from the date that a Client funds any Client Account(s) with Advisor, Advisor shall pay SAI an amount equal to an annual percentage of 0.20% of any and all assets in such Client Accounts, with such amount to be billed and collected in arrears on a quarterly basis based on the average daily balance of assets held in such Accounts during the relevant quarter.

These referral fees are paid by Registrant and not the client. To receive referrals from the WAS Program, Registrant must meet certain minimum participation criteria, but Advisor may have been selected for participation in the WAS Program as a result of its other business relationships with SAI and its affiliates, including Fidelity Brokerage Services, LLC ("FBS"). As a result of its participation in the WAS Program, Registrant may have a potential conflict of interest with respect to its decision to use certain affiliates of SAI, including FBS, for execution, custody and clearing for certain client accounts, and Advisor may have a potential incentive to suggest the use of FBS and its affiliates to its advisory clients, whether or not those clients were referred to Registrant as part of the

WAS Program. Under an agreement with SAI, Registrant has agreed that Advisor will not charge clients more than the standard range of advisory fees disclosed in its Form ADV 2A Brochure to cover solicitation fees paid to SAI as part of the WAS Program. Pursuant to these arrangements, Registrant has agreed not to solicit clients to transfer their brokerage accounts from affiliates of SAI or establish brokerage accounts at other custodians for referred clients other than when Registrant's fiduciary duties would so require; therefore, Registrant may have an incentive to suggest that referred clients and their household members maintain custody of their accounts with affiliates of SAI.

However, participation in the WAS Program does not limit Registrant's duty to select brokers on the basis of best execution.

## Item 14 – Custody

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The Registrant shall have the ability to have its advisory fee for each client debited by the custodian on a quarterly basis. Clients are provided, at least quarterly, with written transaction confirmation notices and regular written summary account statements directly from the broker-dealer/custodian and/or program sponsor for the client accounts. The Registrant may also provide a written periodic report summarizing account activity and performance.

**Please Note:** To the extent that the Registrant provides clients with periodic account statements or reports, the client is urged to compare any statement or report provided by the Registrant with the account statements received from the account custodian.

**Please Also Note:** The account custodian does not verify the accuracy of the Registrant's advisory fee calculation.

## Item 15 – Investment Discretion

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The client can determine to engage the Registrant to provide investment advisory services on a discretionary basis. Prior to the Registrant assuming discretionary authority over a client's account, the client shall be required to execute an *Investment Management Agreement*, naming the Registrant as client's attorney and agent in fact, granting the Registrant full authority to buy, sell, or otherwise effect investment transactions involving the assets in the client's name found in the discretionary account.

Clients who engage the Registrant on a discretionary basis may, at anytime, impose restrictions, in writing, on the Registrant's discretionary authority (i.e., limit the types/amounts of particular securities purchased for their account, exclude the ability to purchase securities with an inverse relationship to the market, limit or proscribe the Registrant's use of margin, and so forth.)

## Item 16 – Voting Client Securities

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- A. The Registrant does not vote client proxies. Clients maintain exclusive responsibility for: (1) directing the manner in which proxies solicited by issuers of securities owned by the client shall be voted, and (2) making all elections relative to any mergers, acquisitions, tender offers, bankruptcy proceedings or other type events pertaining to the client's investment assets.
- B. Clients will receive their proxies or other solicitations directly from their custodian. Clients may contact the Registrant to discuss any questions they may have with a particular solicitation.

## Item 17 – Financial Information

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- A. The Registrant does not solicit investment advisory fees of more than \$1,200, per client, six months or more in advance. In limited cases, Financial Planning and Consulting service fees may be paid annually based on individual client circumstances.
- B. The Registrant is unaware of any financial condition that is reasonably likely to impair its ability to meet its contractual commitments relating to its discretionary authority over client accounts.
- C. The Registrant has not been the subject of a bankruptcy petition.

### **ANY QUESTIONS:**

**The Registrant's Chief Compliance Officer, Todd Hanslik, remains available to address any questions that a client or prospective client may have regarding the above disclosures and arrangements. Please do not hesitate to call him at 713-344-9303 with any questions and or concerns regarding this document or compliance related matters.**

**Part 2B of Form ADV: Brochure Supplement**

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Item 1 – Cover Page    Part 2B of Form ADV: Brochure Supplement

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**PATRIOT WEALTH MANAGEMENT, INC.**

1800 BERING DRIVE, SUITE 250  
HOUSTON, TX 77057  
(713) 344-9300  
WWW.PATRIOTWEALTH.COM

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- |  |   |
|--|---|
| • Bill S. Murski                           | Sydney A. Motes, CFP <sup>®</sup> , CPA |
| • Todd E. Hanslik, CFA                     | Meredith J. Rice, CFP <sup>®</sup>      |
| • Jeffrey R. Swantkowski, JD               | Michael D. Contant                      |
| • Dana N. Weinstein, CPA, JD               | Robert C. Leslie, CFA                   |
| • Anna M. Jones, CFP <sup>®</sup>          | Gerard M. Pollard                       |
| • Larry O. Knowles, CFP <sup>®</sup> , CPA |   |

- Indicates Shareholders of Patriot Wealth Management, Inc.

This Brochure Supplement provides information on our personnel listed above and supplements the Brochure. You should have also received a copy of the Brochure.

Additionally, a Summary of Professional Designations is included with this Part 2B Brochure Supplement (pages 14-15). The list is provided to assist you in evaluating the professional designations our professionals hold.

If you have not received our firm's Brochure, have any questions about professional designations or about any content of this supplement, please contact us at (713) 344-9300.

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

Pursuant to Rule 206(4)-7, the Registrant maintains and implements policies and procedures in order to comply with the requirements of supervision under Section 203(e)(6) of the Investment Advisor's Act ("Act"). The Registrant's Chief Compliance Officer, Todd E. Hanslik, is primarily responsible for the implementation of the Registrant's policies and procedures and overseeing the activities of the Registrant's supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant's supervision or compliance practices, please contact Mr. Hanslik at (713) 344-9303.

## Bill S. Murski

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Principal  
Shareholder

### Item 2 – Educational Background and Business Experience

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Year of Birth: 1960

Formal Education:

- University of Houston, MBA, 1987
- University of Texas, BBA Accounting, 1983

Business Background:

- |                                   |                |                       |
|-----------------------------------|----------------|-----------------------|
| • Patriot Wealth Management, Inc. | 2007 – Present |                       |
| • Lexington Financial Group       | 2004 – 2006    | President             |
| • FCA Corp                        | 1986 – 2003    | Senior Vice President |

### Item 3 – Disciplinary Information

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Bill S. Murski has never had any disciplinary disclosures to be reported.

### Item 4 – Other Business Activities

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Bill S. Murski is currently not actively engaged in any other investment related business or occupation, nor any non-investment-related business or occupation for compensation.

### Item 5 – Additional Compensation

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Bill S. Murski receives compensation for providing advisory services solely from his responsibilities at Patriot Wealth Management, Inc. and from no other source.

### Item 6 – Supervision

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Bill S. Murski provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. Mr. Murski reports directly to the Patriot Wealth Management, Inc. Shareholders as disclosed on the cover page. You may contact a Shareholder at 713-344-9300.

## **Todd E. Hanslik, CFA**

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Principal  
Shareholder  
Chief Compliance Officer

### **Item 2 – Educational Background and Business Experience**

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Year of Birth: 1968

Formal Education:

- University of Texas, MBA, 1994
- University of Texas, BBA Marketing, 1990

Business Background:

- |                                   |                |   |
|-----------------------------------|----------------|---|
| • Patriot Wealth Management, Inc. | 2004 – Present |   |
| • Kanaly Trust Company            | 2001 – 2004    | Vice President and Sr Financial Advisor |

### **Item 3 – Disciplinary Information**

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Todd E. Hanslik has never had any disciplinary disclosures to be reported.

### **Item 4 – Other Business Activities**

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Todd E. Hanslik is currently not actively engaged in any other investment related business or occupation, nor any non-investment-related business or occupation for compensation.

### **Item 5 – Additional Compensation**

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Todd E. Hanslik receives compensation for providing advisory services solely from his responsibilities at Patriot Wealth Management, Inc. and from no other source.

### **Item 6 – Supervision**

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Todd E. Hanslik provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. Mr. Hanslik reports directly to the Patriot Wealth Management, Inc. Shareholders as disclosed on the cover page. You may contact a Shareholder at 713-344-9300.

## Jeffrey R. Swankowski, JD

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Principal  
Shareholder

### Item 2 – Educational Background and Business Experience

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Year of Birth: 1967

Formal Education:

- University of Houston, JD, 1993
- University of Texas, MPA Taxation, 1990
- University of Texas, BBA Accounting, 1990

Business Background:

- |                                   |                |                       |
|-----------------------------------|----------------|-----------------------|
| • Patriot Wealth Management, Inc. | 2004 – Present |                       |
| • Kanaly Trust Company            | 1994 – 2004    | Senior Vice President |

### Item 3 – Disciplinary Information

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Jeffrey R. Swankowski has never had any disciplinary disclosures to be reported.

### Item 4 – Other Business Activities

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Jeffrey R. Swankowski is currently not actively engaged in any other investment related business or occupation, nor any non-investment-related business or occupation for compensation.

### Item 5 – Additional Compensation

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Jeffrey R. Swankowski receives compensation for providing advisory services solely from his responsibilities at Patriot Wealth Management, Inc. and from no other source.

### Item 6 – Supervision

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Jeffrey R. Swankowski provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. Mr. Swankowski reports directly to the Patriot Wealth Management, Inc. Shareholders as disclosed on the cover page. You may contact a Shareholder at 713-344-9300.

## **Dana N. Weinstein, CPA, JD**

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Principal  
Shareholder

### **Item 2 – Educational Background and Business Experience**

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Year of Birth: 1967

Formal Education:

- University of Houston, LLM Taxation, 1997
- University of Houston, JD, 1992
- University of Texas, BBA Accounting, 1989

Business Background:

- |                                   |                |                                  |
|-----------------------------------|----------------|----------------------------------|
| • Patriot Wealth Management, Inc. | 2004 – Present |                                  |
| • Kanaly Trust Company            | 1998 – 2004    | Vice President and Trust Officer |

### **Item 3 – Disciplinary Information**

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Dana N. Weinstein has never had any disciplinary disclosures to be reported.

### **Item 4 – Other Business Activities**

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Dana N. Weinstein is currently not actively engaged in any other investment related business or occupation, nor any non-investment-related business or occupation for compensation.

### **Item 5 – Additional Compensation**

---

Dana N. Weinstein receives compensation for providing advisory services solely from his responsibilities at Patriot Wealth Management, Inc. and from no other source.

### **Item 6 – Supervision**

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Dana N. Weinstein provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. Mr. Weinstein reports directly to the Patriot Wealth Management, Inc. Shareholders as disclosed on the cover page. You may contact a Shareholder at 713-344-9300.

## **Anna M. Jones, CFP®**

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Principal  
Shareholder

### **Item 2 – Educational Background and Business Experience**

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Year of Birth: 1970

Formal Education:

- Trinity University, BS Business/ Accounting, 1992

Business Background:

- |                                   |                |                                     |
|-----------------------------------|----------------|-------------------------------------|
| • Patriot Wealth Management, Inc. | 2004 – Present |                                     |
| • Kanaly Trust Company            | 1995 – 2004    | Sr Vice President and Trust Officer |

### **Item 3 – Disciplinary Information**

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Anna M. Jones has never had any disciplinary disclosures to be reported.

### **Item 4 – Other Business Activities**

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Anna M. Jones is currently not actively engaged in any other investment related business or occupation, nor any non-investment-related business or occupation for compensation.

### **Item 5 – Additional Compensation**

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Anna M. Jones receives compensation for providing advisory services solely from her responsibilities at Patriot Wealth Management, Inc. and from no other source.

### **Item 6 – Supervision**

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Anna M. Jones provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. Ms. Jones reports directly to the Patriot Wealth Management, Inc. Shareholders as disclosed on the cover page. You may contact a Shareholder at 713-344-9300.

## Larry O. Knowles, CFP®, CPA

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Principal

### Item 2 – Educational Background and Business Experience

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Year of Birth: 1955

Formal Education:

- University of Alabama, BS Accounting, 1978

Business Background:

- |                                       |                |                        |
|---------------------------------------|----------------|------------------------|
| • Patriot Wealth Management, Inc.     | 2005 – Present | Principal              |
| • Partners Advisors, L.P              | 2002 – 2005    | Partner                |
| • Century Securities Associates, Inc. | 2003 – 2005    | Financial Consultant   |
| • Service Financial Group, Inc.       | 1998 – 2003    | Vice President and CFO |

### Item 3 – Disciplinary Information

---

Larry O. Knowles has never had any disciplinary disclosures to be reported.

### Item 4 – Other Business Activities

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Larry O. Knowles is currently not actively engaged in any other investment related business or occupation, nor any non-investment-related business or occupation for compensation.

### Item 5 – Additional Compensation

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Larry O. Knowles receives compensation for providing advisory services solely from his responsibilities at Patriot Wealth Management, Inc. and from no other source.

### Item 6 – Supervision

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Larry O. Knowles provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. Mr. Knowles reports directly to the Patriot Wealth Management, Inc. Shareholders as disclosed on the cover page. You may contact a Shareholder at 713-344-9300.



## Sydney A. Motes, CFP®, CPA

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Principal

### Item 2 – Educational Background and Business Experience

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Year of Birth: 1970

Formal Education:

- Baylor University, BBA Accounting, 1992

Business Background:

- |                                   |                |                          |
|-----------------------------------|----------------|--------------------------|
| • Patriot Wealth Management, Inc. | 2007 – Present | Principal                |
| • Lexington Financial Group       | 2004 – 2006    | Principal                |
| • Kanaly Trust Company            | 2001 – 2004    | Assistant Vice President |

### Item 3 – Disciplinary Information

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Sydney A. Motes has never had any disciplinary disclosures to be reported.

### Item 4 – Other Business Activities

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Sydney A. Motes is currently not actively engaged in any other investment related business or occupation, nor any non-investment-related business or occupation for compensation.

### Item 5 – Additional Compensation

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Sydney A. Motes receives compensation for providing advisory services solely from her responsibilities at Patriot Wealth Management, Inc. and from no other source.

### Item 6 – Supervision

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Sydney A. Motes provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. Ms. Motes reports directly to the Patriot Wealth Management, Inc. Shareholders as disclosed on the cover page. You may contact a Shareholder at 713-344-9300.

**Meredith J. Rice, CFP®**

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Principal

## **Item 2 – Educational Background and Business Experience**

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Year of Birth: 1978

Formal Education:

- Texas Tech University, BS Personal Financial Planning, 2001

Business Background:

- |                                   |                |                          |
|-----------------------------------|----------------|--------------------------|
| • Patriot Wealth Management, Inc. | 2007 – Present | Principal                |
| • Kanaly Trust Company            | 2001 – 2007    | Assistant Vice President |

## **Item 3 – Disciplinary Information**

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Meredith J. Rice has never had any disciplinary disclosures to be reported.

## **Item 4 – Other Business Activities**

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Meredith J. Rice is currently not actively engaged in any other investment related business or occupation, nor any non-investment-related business or occupation for compensation.

## **Item 5 – Additional Compensation**

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Meredith J. Rice receives compensation for providing advisory services solely from her responsibilities at Patriot Wealth Management, Inc. and from no other source.

## **Item 6 – Supervision**

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Meredith J. Rice provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. Ms. Rice reports directly to the Patriot Wealth Management, Inc. Shareholders as disclosed on the cover page. You may contact a Shareholder at 713-344-9300.

## Michael D. Contant

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Principal

### Item 2 – Educational Background and Business Experience

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Year of Birth: 1970

#### Formal Education:

- Rice University, MBA Finance, 2000
- Houston Baptist University, BBA Finance, 1995

#### Business Background:

• Patriot Wealth Management, Inc.	2011 – Present	Principal
• Terra Financial Partners	2009 – 2010	Managing Director
• Bauer Ventures	2003 – 2009	VP and Investment Officer
• Cypress Asset Management	1996 – 2003	Investment Principal

### Item 3 – Disciplinary Information

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Michael D. Contant has never had any disciplinary disclosures to be reported.

### Item 4 – Other Business Activities

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Michael D. Contant is currently not actively engaged in any other investment related business or occupation, nor any non-investment-related business or occupation for compensation.

### Item 5 – Additional Compensation

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Michael D. Contant receives compensation for providing advisory services solely from his responsibilities at Patriot Wealth Management, Inc. and from no other source.

### Item 6 – Supervision

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Michael D. Contant provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. Mr. Contant reports directly to the Patriot Wealth Management, Inc. Shareholders as disclosed on the cover page. You may contact a Shareholder at 713-344-9300.

## Robert C. Leslie, CFA

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Chief Investment Officer

### Item 2 – Educational Background and Business Experience

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Year of Birth: 1958

Formal Education:

- Susquahanna University, BM, Music, 1980
- University of Maryland, MBA, Finance, 1984

Business Background:

- |                                   |                |                   |
|-----------------------------------|----------------|-------------------|
| • Patriot Wealth Management, Inc. | 2013 – Present | CIO               |
| • Brasada Capital Management, LP  | 2009 – 2012    | Founder           |
| • Meadow Lake Capital             | 2005 - 2008    | Managing Director |

### Item 3 – Disciplinary Information

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Robert C. Leslie has never had any disciplinary disclosures to be reported.

### Item 4 – Other Business Activities

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Robert C. Leslie is currently not actively engaged in any other investment related business or occupation, nor any non-investment-related business or occupation for compensation.

### Item 5 – Additional Compensation

---

Robert C. Leslie receives compensation for providing advisory services solely from his responsibilities at Patriot Wealth Management, Inc. and from no other source.

### Item 6 – Supervision

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Robert Leslie provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. Mr. Leslie reports directly to the Patriot Wealth Management, Inc. Shareholders as disclosed on the cover page. You may contact a Shareholder at 713-344-9300.

## Gerard M. Pollard

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Portfolio Manager

### Item 2 – Educational Background and Business Experience

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Year of Birth: 1963

Formal Education:

- University of St. Thomas, MBA Finance, 1989
- University of Houston, BBA, Finance, 1985

Business Background:

- |                                   |                |                   |
|-----------------------------------|----------------|-------------------|
| • Patriot Wealth Management, Inc. | 2015 – Present | Portfolio Manager |
| • Invesco, Ltd.                   | 1998 – 2014    | Senior Analyst    |

### Item 3 – Disciplinary Information

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Gerard M. Pollard has never had any disciplinary disclosures to be reported.

### Item 4 – Other Business Activities

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Gerard M. Pollard is currently not actively engaged in any other investment related business or occupation, nor any non-investment-related business or occupation for compensation.

### Item 5 – Additional Compensation

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Gerard M. Pollard receives compensation for providing advisory services solely from his responsibilities at Patriot Wealth Management, Inc. and from no other source.

### Item 6 – Supervision

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Gerard M. Pollard provides investment advisory and supervisory services in accordance with the Registrant's policies and procedures manual. Mr. Pollard reports directly to the Patriot Wealth Management, Inc. Shareholders as disclosed on the cover page. You may contact a Shareholder at 713-344-9300.

## **SUMMARY of PROFESSIONAL DESIGNATIONS**

This Summary of Professional Designations is provided to assist you in evaluating the professional designations and minimum requirements of our investment professionals to hold these designations.

“Understanding Professional Designations” may also be helpful and found on the FINRA website at <http://apps.finra.org/DataDirectory/1/prodesignations.aspx>

### **CFA – Chartered Financial Analyst**

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Issued by: CFA Institute

Prerequisites/ Experience Required: Candidate must meet one of the following requirements:

- Undergraduate degree and 4 years of professional experience involving investment decision-making, or
- 4 years qualified work experience (full time, but not necessarily investment related)

Examination Type: 3 course exams

Continuing Education: Voluntary

### **CFP® – Certified Financial Planner™**

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Issued by: Certified Financial Planner Board of Standards, Inc.

Prerequisites/ Experience Required: Candidate must meet the following requirements:

- A bachelor's degree (or higher) from an accredited college or university, and
- 3 years of full-time personal financial planning experience

Educational Requirements: Candidate must

- Complete a CFP® - board registered program, or hold one of the following:
  - CPA
  - ChFC
  - Chartered Life Underwriter (CLU)
  - CFA
  - Ph.D. in Business or Economics
  - Doctor of Business Administration
  - Attorney's License
- Successful completion of the certification exam

Examination Type: CFP® Certification Examination

Continuing Education: 30 hours every 2 years

## **CPA – Certified Public Accountant**

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Issued by: CPAs are licensed and regulated by their state boards of accountancy.

Prerequisites/ Experience Required: To take the examination to become licensed as a certified public accountant, it is necessary to:

- Meet state's requirements for education, experience, and knowledge
- Most states now require 150 semester hours of university education

Examination Type: 4 course exams

Continuing Education: States generally require the completion of 40 hours each year

## **FRM® – Financial Risk Manager**

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Issued by: Global Association of Risk Professionals (GARP)

Prerequisites/ Experience Required: Candidate must meet one of the following requirements:

- Undergraduate degree and 4 years of professional experience involving investment decision-making, or
- A minimum of two years professional full-time work experience in the area of financial risk management or another related field including, but not limited to, trading, portfolio management, faculty academic, industry research, economics, auditing, risk consulting, and/or risk technology.

Examination Type: 2 course exams

Continuing Education: None