



Basepoint Wealth, LLC

Form ADV Part 2A – Disclosure Brochure

Effective: November 16, 2018

This Form ADV 2A (“Disclosure Brochure”) provides information about the qualifications and business practices of Basepoint Wealth, LLC (“Basepoint” or the “Advisor”). If you have any questions about the contents of this Disclosure Brochure, please contact us at (319) 826-1898.

Basepoint is a registered investment advisor with the U.S. Securities and Exchange Commission (“SEC”). The information in this Disclosure Brochure has not been approved or verified by the SEC or by any state securities authority. Registration of an investment advisor does not imply any specific level of skill or training. This Disclosure Brochure provides information through Basepoint to assist you in determining whether to retain the Advisor.

Additional information about Basepoint and its advisory persons are available on the SEC’s website at www.adviserinfo.sec.gov by searching with our firm name or our CRD# 289538.

Basepoint Wealth, LLC
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Item 2 – Material Changes

Form ADV 2 is divided into two parts: *Part 2A (the "Disclosure Brochure")* and *Part 2B (the "Brochure Supplement")*. The Disclosure Brochure provides information about a variety of topics relating to an Advisor's business practices and conflicts of interest. The Brochure Supplement provides information about advisory personnel of Basepoint.

Basepoint believes that communication and transparency are the foundation of its relationship with Clients and will continually strive to provide its Clients with complete and accurate information at all times. Basepoint encourages all current and prospective Clients to read this Disclosure Brochure and discuss any questions you may have with us. And of course, we always welcome your feedback.

Material Change

Basepoint is a newly registered investment advisor. This is an interim amendment since the filing dated April 3, 2018. The following are material changes since April 3, 2018.

- Item 15 Basepoint has custody due to money transfers from client accounts through client standing letters of authorization.
- Primary Office address has been updated (Front page and footer).

Future Changes

From time to time, we may amend this Disclosure Brochure to reflect changes in our business practices, changes in regulations and routine annual updates as required by the securities regulators. This complete Disclosure Brochure or a Summary of Material Changes shall be provided to each Client annually and if a material change occurs in the business practices of Basepoint.

At any time, you may view the current Disclosure Brochure on-line at the SEC's Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with our firm name or our CRD #289538. You may also request a copy of this Disclosure Brochure at any time, by contacting us at (319) 826-1898.

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A. Firm Information

Basepoint Wealth, LLC (“Basepoint” or the “Advisor”) is a registered investment advisor with the U.S. Securities and Exchange Commission (“SEC”), which is organized as a limited liability company under the laws of the State of Iowa. Basepoint was founded in September 2017 and owned and operated by Kathryn M. Wallace, William (Allen) Wallace, Bryan J. Knudson, Landis T. Wiley, and Katherine E. Ortgies (Chief Compliance Officer).

This Disclosure Brochure provides information regarding the qualifications, business practices, and the advisory services provided by Basepoint.

B. Advisory Services Offered

Basepoint offers investment advisory services to high net worth individuals, families, trusts, estates, and businesses (each referred to as a “Client”). Basepoint provides comprehensive investment management, planning and consulting services tailored to the individual needs of each Client.

Investment Advisory Services

Basepoint provides customized investment advisory solutions for its Clients. This is achieved through continuous personal Client contact and interaction while providing discretionary investment management and related advisory services. Basepoint works with each Client to identify their investment goals and objectives as well as risk tolerance and financial situation in order to create an appropriate investment strategy. Basepoint will then construct a portfolio strategy that may include the use of our internal investment management and/or independent managers.

Internal Investment Management - Basepoint customizes its investment management services for its Clients. Portfolios are primarily constructed using mutual funds, exchange-traded funds (“ETFs”), individual stocks and fixed income securities. The Advisor may also utilize other types of investments, as appropriate, to meet the needs of each particular Client. The Advisor does not limit its advice to specific types of investments. The Advisor may retain legacy securities due to portfolio fit and tax considerations.

Basepoint evaluates and selects investments for inclusion in Client portfolios only after applying its internal due diligence process. Basepoint’s investment strategy is primarily long-term focused, but the Advisor may buy, sell or re-allocate positions that have been held less than one year to meet the objectives of the Client or due to market conditions. If it is consistent with the Client’s goals, the Advisor may also engage in an investment strategy that utilizes frequent trading in securities, please see Item 8 for more information. Basepoint will construct, implement and monitor the Client’s portfolio to ensure it meets the goals, objectives, circumstances, and risk tolerance agreed to by the Client. Each Client will have the opportunity to place reasonable restrictions on the types of investments to be held in their respective portfolio, subject to acceptance by the Advisor.

Basepoint, in its discretion, may redistribute investment allocations to diversify the portfolio. Basepoint may recommend specific positions to increase sector or asset class weightings. The Advisor may recommend employing cash positions as a possible hedge against market movement. Basepoint may recommend selling positions for reasons that include, but are not limited to, harvesting capital gains or losses, business or sector risk exposure to a specific security or class of securities, overvaluation or overweighting of the position[s] in the portfolio, change in risk tolerance of Client, generating cash to meet Client needs, or any risk deemed unacceptable for the Client’s risk tolerance.

Basepoint will provide investment management and related advisory services. At no time will Basepoint accept or maintain custody of a Client’s funds or securities, except for authorized deduction of the Advisor’s fees. All Client assets will be managed within their designated account[s] at the Custodian, pursuant to the investment advisory agreement.

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Financial Planning and Consulting Services

Basepoint will typically provide a variety of financial planning services to Clients as part of the investment advisory engagement or as a separate engagement. Services are offered in several areas of a Client's financial situation, depending on their goals, objectives and financial situation.

Generally, such financial planning services will involve preparing a financial plan or rendering a financial consultation based on the Client's financial goals and objectives. This planning or consulting may encompass one or more areas of need, including, but not limited to investment planning, retirement planning, estate planning, personal savings, education savings and other areas of a Client's financial situation.

A financial plan developed for or financial consultation rendered to the Client will usually include general recommendations for a course of activity or specific actions to be taken by the Client. For example, recommendations may be made that the Client start or revise their investment programs, commence or alter retirement savings, establish education savings and/or charitable giving programs. Basepoint may also refer Clients to an accountant, attorney or other specialist, as appropriate for their unique situation. For certain financial planning engagements, the Advisor will provide a written summary of Client's financial situation, observations, and recommendations. For consulting or ad-hoc engagements, the Advisor may not provide a written summary. Plans or consultations are typically completed within six months of contract date, assuming all information and documents requested are provided promptly.

Financial planning and consulting recommendations may pose a potential conflict between the interests of the Advisor and the interests of the Client. Clients are not obligated to implement any recommendations made by the Advisor or maintain an ongoing relationship with the Advisor. If the Client elects to act on any of the recommendations made by the Advisor, the Client is under no obligation to implement the transaction through the Advisor.

C. Client Account Management

Prior to engaging Basepoint to provide investment advisory services, each Client is required to enter into one or more advisory agreements with the Advisor that define the terms, conditions, authority and responsibilities of the Advisor and the Client. These services may include:

- Establishing an Investment Strategy – Basepoint, in connection with the Client, will develop an investment strategy targeted to achieve the Client's investment goals and objectives.
- Asset Allocation – Basepoint will develop a strategic asset allocation that is targeted to meet the investment objectives, time horizon, financial situation and tolerance for risk for each Client.
- Portfolio Construction – Basepoint will develop a portfolio for the Client that is intended to meet the stated goals and objectives of the Client.
- Investment Management and Supervision – Basepoint will provide investment management and ongoing oversight of the Client's portfolio.
- Financial Planning and Consulting – For Clients engaging for investment advisory services, the Advisor provides ongoing financial planning and related services regarding the Client's overall financial situation.

D. Wrap Fee Programs

Basepoint includes securities transaction fees together with its investment advisory fee. Including these fees into a single asset-based fee is considered a "Wrap Fee Program". The Advisor customizes its investment management services for its Clients. The Advisor sponsors the Basepoint Wrap Fee Program solely as a supplemental disclosure regarding the combination of fees. Depending on the level of trading required for the Client's account[s] in a particular year, the Client may pay more or less in total fees than if the Client paid its own transaction fees. Please see Appendix 1 –Wrap Fee Program Brochure, which is included as a supplement to this Disclosure Brochure.

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E. Assets Under Management

Basepoint is a newly established advisor. As of November 15, 2018 Basepoint, had \$221,527,497 in discretionary assets and \$7,532,954 in non-discretionary assets.

Item 5 – Fees and Compensation

The following paragraphs detail the fee structure and compensation methodology for services provided by the Advisor. Each Client shall sign one or more agreements that detail the responsibilities of Basepoint and the Client.

A. Fees for Advisory Services

Investment Advisory Services

Investment advisory fees are paid monthly, at the end of each month, pursuant to the terms of the investment advisory agreement. Investment advisory fees are based on the average closing market value of assets under management in the account[s] for the month. Investment advisory fees range from 0.25% to 1.50% annually depending on the level of assets to be managed, the investment strategy[ies] to be employed and/or the complexity of services to be provided.

The investment advisory fee in the first month of service is prorated from the inception date of the account[s] to the end of the first month. Fees may be negotiable at the sole discretion of the Advisor. Certain Clients may have a fee schedule that differs from above. The Client's fees will take into consideration the aggregate assets under management with Advisor. Investment advisory fees may include financial planning and consulting services, pursuant to the terms of the agreement[s] with the Advisor. All securities held in accounts managed by Basepoint will be independently valued by the Custodian. Basepoint will not have the authority or responsibility to value portfolio securities.

Financial Planning and Consulting Services

Financial planning and consulting services may be included as part of an overall wealth management engagement or provided as a stand-alone engagement. For separately billed engagements, financial planning and consulting services are offered at an hourly rate ranging from \$100 to \$400 per hour or as a fixed engagement fee. The Advisor may also offer its services for an annual planning fee. Fees are based on the experience of the person performing the services, the complexity and duration the services to be provided. An estimate for total hours and/or costs will be determined prior to engaging for these services.

B. Fee Billing

Investment Advisory Services

Investment advisory fees will be calculated by the Advisor or its delegate and deducted from the Client's account[s] at the Custodian. The Advisor shall send an invoice to the Custodian indicating the amount of the fees to be deducted from the Client's account[s] at the respective month-end date. The amount due is calculated by applying the monthly rate (annual rate divided by 12) to the total assets under management with Basepoint at the end of the period. Clients will be provided with a statement, at least quarterly, from the Custodian reflecting deduction of the investment advisory fee. Clients are highly encouraged to check the accuracy of the management fees calculation. Clients provide written authorization permitting Basepoint to be paid directly from their accounts held by the Custodian as part of the investment advisory agreement and separate account forms provided by the Custodian.

Financial Planning and Consulting Services

Fees for project-based financial planning and consulting fees are invoiced up to 50% upon the execution of the financial planning or consulting agreement with the balance due upon completion of the engagement deliverable[s]. Fees for annual engagements may have an initial fee up to 50% of the annual fee, with monthly payments thereafter, as specified in the financial planning agreement.

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C. Other Fees and Expenses

Clients may incur certain fees or charges imposed by third parties, other than Basepoint, in connection with investments made on behalf of the Client's account[s]. Other non-ordinary fees, which may include wire transfer fees, small account fees and other fees charged by the Custodian incurred at the direction of the Client are not included and shall be paid by the Client. Basepoint may include securities transactions costs as part of its overall advisory fees. Please see Item 4.D. above as well as Appendix 1 – Wrap Fee Program Brochure. The inclusion of securities transaction fees into a single bundled fee may cost the Client more or less than if paid separately. Clients may also pay securities transaction costs if their assets are managed in a non-wrap account program.

In addition, all fees paid to Basepoint for investment advisory services are separate and distinct from the expenses charged by mutual funds and ETFs to their shareholders, if applicable. These fees and expenses are described in each fund's prospectus. These fees and expenses will generally be used to pay management fees for the funds, other fund expenses, account administration (e.g., custody, brokerage and account reporting), and a possible distribution fee. The Client should review both the fees charged by the fund[s] and the fees charged by Basepoint to fully understand the total fees to be paid.

D. Advance Payment of Fees and Termination

Investment Advisory Services

Basepoint is compensated for its investment advisory services at the end of the month in which services are rendered. Either party may request to terminate the investment advisory agreement with Basepoint, at any time, by providing advance written notice to the other party. The Client shall be responsible for investment advisory fees up to and including the effective date of termination. Upon termination, the Advisor will promptly refund any unearned, prepaid fees to the Client. The Client's investment advisory agreement with the Advisor is non-transferable without the Client's written approval.

Use of Independent Managers

In the event that a Client should wish to terminate their relationship with an Independent Manager, the terms for termination will be set forth in the respective agreements between the Client and those third parties. Basepoint will assist the Client with the termination and transition as appropriate.

Financial Planning and Consulting Services

The Advisor may be partially compensated for its financial planning and consulting services upon execution of the engagement agreement. Either party may terminate a planning agreement, at any time, by providing written notice to the other party. Upon termination, the Client shall be responsible for fees based on the hours worked by the Advisor or the percentage of the engagement completed. Upon termination, any unearned prepaid fees will be promptly refunded to the Client. The Client's financial planning agreement with the Advisor is non-transferable without the Client's written approval.

E. Compensation for Sales of Securities

Basepoint does not buy or sell securities and does not receive any compensation for securities transactions in any Client account, other than the investment advisory fees noted above.

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

Basepoint does not charge performance-based fees for its investment advisory services. The fees charged by Basepoint are as described in "Item 5 – Fees and Compensation" above and are not based upon the capital appreciation of the funds or securities held by any Client.

Basepoint does not manage any proprietary investment funds or limited partnerships (for example, a mutual fund or a hedge fund) and has no financial incentive to recommend any particular investment options to its Clients.

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Item 7 – Types of Clients

Basepoint offers investment advisory services to high net worth individuals, families, trusts, estates, businesses and pension plans. The relative percentage of each type of Client is available on Basepoint's Form ADV Part 1. These percentages will change over time. Basepoint does not impose a size for establishing a relationship, but does tailor its services to high net worth Clients.

Item 8 – Methods of Analysis, Investment Strategies and Risk of Loss

A. Methods of Analysis

Basepoint primarily employs fundamental analysis methods in developing investment strategies for its Clients. Research and analysis from Basepoint is derived from numerous sources, including financial media companies, third-party research materials, Internet sources, and review of company activities, including annual reports, prospectuses, press releases and research prepared by others.

As noted above, Basepoint generally employs a long-term investment strategy for its Clients, as consistent with their financial goals. Basepoint will typically hold all or a portion of a security for more than a year, but may hold for shorter periods for the purpose of rebalancing a portfolio or meeting the cash needs of Clients. At times, Basepoint may also buy and sell positions that are more short-term in nature, depending on the goals of the Client and/or the fundamentals of the security, sector or asset class.

B. Risk of Loss

Investing in securities involves certain investment risks. Securities may fluctuate in value or lose value. Clients should be prepared to bear the potential risk of loss. Basepoint will assist Clients in determining an appropriate strategy based on their tolerance for risk and other factors noted above. However, there is no guarantee that a Client will meet their investment goals.

Fundamental analysis utilizes economic and business indicators as investment selection criteria. These criteria are generally ratios and trends that may indicate the overall strength and financial viability of the entity being analyzed. Assets are deemed suitable if they meet certain criteria to indicate that they are a strong investment with a value discounted by the market. While this type of analysis helps the Advisor in evaluating a potential investment, it does not guarantee that the investment will increase in value. Assets meeting the investment criteria utilized in the fundamental analysis may lose value and may have negative investment performance. The Advisor monitors these economic indicators to determine if adjustments to strategic allocations are appropriate. More details on the Advisor's review process are included below in "Item 13 – Review of Accounts".

Each Client engagement will entail a review of the Client's investment goals, financial situation, time horizon, tolerance for risk and other factors to develop an appropriate strategy for managing a Client's account. Client participation in this process, including full and accurate disclosure of requested information, is essential for the analysis of a Client's account. The Advisor shall rely on the financial and other information provided by the Client or their designees without the duty or obligation to validate the accuracy and completeness of the provided information. It is the responsibility of the Client to inform the Advisor of any changes in financial condition, goals or other factors that may affect this analysis.

The risks associated with a particular strategy are provided to each Client in advance of investing Client accounts. The Advisor will work with each Client to determine their tolerance for risk as part of the portfolio construction process. **Past performance is not a guarantee of future returns. Investing in securities and other investments involve a risk of loss that each Client should understand and be willing to bear. Clients are reminded to discuss these risks with the Advisor.**

Item 9 – Disciplinary Information

There are no legal, regulatory or disciplinary events to disclose involving Basepoint. Our backgrounds are on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with our firm name or our

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Item 10 – Other Financial Industry Activities and Affiliations

Ms. Wallace owns rental property.

Ms. Wallace is a volunteer at Board Member of Cedar Rapids Metro YMCA. This is a non-profit organization and receives no compensation for this activity.

Mr. Wiley is an Executive Treasurer and Board of Director at Cedar Rapids Country Club since April 2013. He allots 5 hours per month with no compensation for this activity. He is also a soccer official and a referee since August 1998 and allots 1-9 hours per month for this activity.

Item 11 – Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

A. Code of Ethics

Basepoint has implemented a Code of Ethics that defines our fiduciary commitment to each Client. This Code of Ethics applies to all persons associated with Basepoint (our "Supervised Persons"). The Code of Ethics was developed to provide general ethical guidelines and specific instructions regarding our duties to you, our Client. Basepoint and its personnel owe a duty of loyalty, fairness and good faith towards each Client. It is the obligation of Basepoint Supervised Persons to adhere not only to the specific provisions of the Code, but also to the general principles that guide the Code. The Code of Ethics covers a range of topics that address employee ethics and conflicts of interest. To request a copy of our Code of Ethics, please contact us at (319) 826-1898.

B. Personal Trading with Material Interest

Basepoint allows the purchase or sale of the same securities that may be recommended to and purchased on behalf of Clients. Basepoint does not act as principal in any transactions. In addition, the Advisor does not act as the general partner of a fund, or advise an investment company. Basepoint does not have a material interest in any securities traded in Client accounts.

C. Personal Trading in Same Securities as Clients

Basepoint allows the purchase or sale of the same securities that may be recommended to and purchased on behalf of Clients. Owning the same securities we recommend (purchase or sell) to you presents a potential conflict of interest that, as fiduciaries, we must disclose to you and mitigate through policies and procedures. As noted above, we have adopted a Code of Ethics, which addresses insider trading (material non-public information controls) and personal securities reporting procedures. When trading for personal accounts, Supervised Persons of Basepoint may have a conflict of interest if trading in the same securities. The fiduciary duty to act in the best interest of its Clients can potentially be violated if personal trades are made with more advantageous terms than Client trades, or by trading based on material non-public information. This risk is mitigated by Basepoint requiring reporting of personal securities trades by its employees for review by the Chief Compliance Officer ("CCO"). We have also adopted written policies and procedures to detect the misuse of material, non-public information.

D. Personal Trading at Same Time as Client

While Basepoint allows the purchase or sale of the same securities that may be recommended to and purchased on behalf of Clients, such trades are typically aggregated with Client orders or traded afterwards. **At no time will Basepoint transact in any security to the detriment of any Client.**

Item 12 – Brokerage Practices

A. Recommendation of Custodian[s]

Basepoint does not have discretionary authority to select the broker-dealer/custodian for custody and execution services. The Client will engage the broker-dealer/custodian (herein the "Custodian") to safeguard Client assets and authorize Basepoint to direct trades to this Custodian as agreed in the investment advisory agreement.

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Further, Basepoint does not have the discretionary authority to negotiate commissions on behalf of our Clients on a trade-by-trade basis.

Where Basepoint does not exercise discretion over the selection of the Custodian, it may recommend the Custodian to Clients for custody and execution services. Clients are not obligated to use the Custodian recommended by the Advisor and will not incur any extra fee or cost associated with using a Custodian not recommended by Basepoint. Typically, Basepoint will recommend that Clients establish their account[s] with Fidelity Clearing & Custody Solutions, a related entity of Fidelity Investments, Inc. (collectively "Fidelity"), where the Advisor maintains an institutional relationship. Basepoint receives certain economic benefits from Fidelity as detailed in Item 14 below.

Following are additional details regarding the brokerage practices of the Advisor:

1. Soft Dollars - Soft dollars are revenue programs offered by broker-dealers/custodians whereby an advisor enters into an agreement to place security trades with such parties in exchange for research and other services. Basepoint does not participate in soft dollar programs sponsored or offered by any broker-dealer-custodian. However, the Advisor does receive certain economic benefit from Fidelity as described in Item 14 below.

2. Brokerage Referrals - Basepoint does not receive any compensation from any third party in connection with the recommendation for establishing an account.

3. Directed Brokerage - The Advisor does have discretion to choose the Custodian for the Client's account yet will allow the Client to direct brokerage to another Custodian. In cases where the Client directs brokerage the Advisor will not be responsible for best execution or the negotiation of transaction charges assessed by the custodian the Client chooses. Not all Advisors allow directed brokerage. The Advisor will not engage in any principal transactions (i.e., trade of any security from or to the Advisor's own account) or cross transactions with other Client accounts (i.e., purchase of a security into one Client account from another Client's account[s]). In selecting the Custodian, Basepoint will not be obligated to select competitive bids on securities transactions and does not have an obligation to seek the lowest available transaction costs. These costs are determined by the Custodian.

B. Aggregating and Allocating Trades

The primary objective in placing orders for the purchase and sale of securities for Client accounts is to obtain the most favorable net results taking into account such factors as 1) price, 2) size of order, 3) difficulty of execution, 4) confidentiality and 5) skill required of the Custodian. Basepoint will execute its transactions through the Custodian as designated by the Client, unless otherwise instructed. Basepoint may aggregate orders in a block trade or trades when securities are purchased or sold through the same Custodian for multiple (discretionary) accounts. If a block trade cannot be executed in full at the same price or time, the securities actually purchased or sold by the close of each business day must be allocated in a manner that is consistent with the initial pre-allocation or other written statement. This must be done in a way that does not consistently advantage or disadvantage particular Client accounts.

Item 13 – Review of Accounts

A. Frequency of Reviews

Investments in Client accounts are monitored on a regular and continuous basis by Principals of Basepoint and periodically by its CCO. Formal reviews are generally conducted at least annually or more or less frequently depending on the needs of the Client.

B. Causes for Reviews

In addition to the investment monitoring noted in Item 13.A., each Client account shall be reviewed at least annually. Reviews may be conducted more or less frequently at the Client's request. Accounts may be reviewed as a result of major changes in economic conditions, known changes in the Client's financial situation, and/or large deposits or withdrawals in the Client's account[s]. The Client is encouraged to notify Basepoint if changes

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occur in the Client's personal financial situation that might adversely affect the Client's investment plan. Additional reviews may be triggered by material market, economic or political events.

C. Review Reports

The Client will receive brokerage statements no less than quarterly from the Custodian. These brokerage statements are sent directly from the Custodian to the Client. The Client may also establish electronic access to the Custodian's website so that the Client may view these reports and their account activity. Client brokerage statements will include all positions, transactions and fees relating to the Client's account[s]. The Advisor may also provide Clients with periodic reports regarding their holdings, allocations, and performance.

Item 14 - Client Referrals and Other Compensation

A. Compensation Received by Basepoint

Participation in Institutional Advisor Platform

Basepoint has established institutional relationship with Fidelity to assist the Advisor in managing Client account[s]. The Advisor receives access to software and related support as part of its relationship with Fidelity. The software and related systems support may benefit the Advisor, but not its Clients directly. In fulfilling its duties to its Clients, the Advisor endeavors at all times to put the interests of its Clients first. Clients should be aware, however, that the receipt of economic benefits from a Custodian creates a potential conflict of interest since these benefits may influence the Advisor's recommendation of the Custodian over one that does not furnish similar software, systems support, or services.

Additionally, Basepoint has received financial support from Fidelity to assist the Advisor in the launch of its advisory firm. The following benefits are also received from Fidelity: reimbursement to Clients for transfer costs to the platform/custodian; financing services; receipt of duplicate Client confirmations and bundled duplicate statements; access to a trading desk that exclusively services its institutional participants; access to block trading which provides the ability to aggregate securities transactions and then allocate the appropriate shares to Client accounts; and access to an electronic communication network for Client order entry and account information.

B. Client Referrals from Solicitors

Basepoint does not engage paid solicitors, who are not employees, for Client referrals.

Item 15 – Custody

Basepoint has custody due to the authorized deduction of the advisor's fee. Basepoint follows the safeguards concerning authorized fee deductions and is not required to conduct client account audits. Custody is also disclosed in Form ADV because Basepoint has authority to transfer money from client account(s), which constitutes a standing letter of authorization (SLOA). Accordingly, Basepoint will follow the safeguards specified by the SEC rather than undergo an annual audit. All Clients must place their assets with a "qualified custodian" as detailed in item 12. Clients are required to engage the Custodian to retain their funds and securities and direct Basepoint to utilize the Custodian for the Client's security transactions. Basepoint encourages Clients to review statements provided by the Custodian. For more information about Custodians and brokerage practices, see "Item 12 - Brokerage Practices".

Item 16 – Investment Discretion

Basepoint generally has discretion over the selection and amount of securities to be bought or sold in Client accounts without obtaining prior consent or approval from the Client. However, these purchases or sales may be subject to specified investment objectives, guidelines, or limitations previously set forth by the Client and agreed to by Basepoint. Discretionary authority will only be authorized upon full disclosure to the Client. The granting of such authority will be evidenced by the Client's execution of an investment advisory agreement containing all applicable limitations to such authority. All discretionary trades made by Basepoint will be in accordance with each Client's

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investment objectives and goals.

Item 17 – Voting Client Securities

Basepoint does not accept proxy-voting responsibility for any Client. Clients will receive proxy statements directly from the Custodian. If the Client directs proxy materials to the Advisor's attention, this does not result in the Advisor assuming responsibility for the voting of proxies. The Advisor will assist in answering questions relating to proxies, however, the Client retains the sole responsibility for proxy decisions and voting.

Item 18 – Financial Information

Neither Basepoint, nor its management, have any adverse financial situations that would reasonably impair the ability of Basepoint to meet all obligations to its Clients. Neither Basepoint, nor any of its advisory persons, has been subject to a bankruptcy or financial compromise. Basepoint is not required to deliver a balance sheet along with this Disclosure Brochure as the Advisor does not collect fees of \$1,200 or more for services to be performed six months or more in advance.

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Form ADV Part 2A - Appendix 1 Wrap Fee Program Brochure

This Form ADV 2A – Appendix 1 (“Wrap Fee Program Brochure”) provides information about the business practices and fees for Basepoint Wealth, LLC (“Basepoint” or the “Advisor”) when Client transaction costs are included with investment advisory fees as a single bundled fee. Basepoint sponsors this Wrap Fee Program and provides this Wrap Fee Program Brochure as a supplement to the Basepoint Disclosure Brochure, which provides complete details on the business practices of Basepoint. If you did not receive the complete Basepoint Disclosure Brochure or you have any questions about the contents of this Wrap Fee Program Brochure or the Basepoint Disclosure Brochure, please contact us at (319) 826-1898.

Basepoint is a registered investment advisor located in the with the U.S. Securities and Exchange Commission (“SEC”). The information in this Wrap Fee Program Brochure has not been approved or verified by the SEC or by any state securities authority. Registration of an investment advisor does not imply any specific level of skill or training. This Wrap Fee Program Brochure provides information about Basepoint to assist you in determining whether to retain the Advisor.

Additional information about Basepoint and its advisory persons are available on the SEC’s website at www.adviserinfo.sec.gov by searching for our firm name or by our CRD# 289538.

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Item 2 – Material Changes

Form ADV 2 Appendix 1 provides information about a variety of topics relating to an Advisor's business practices and conflicts of interest. In particular, this Wrap Fee Program Brochure discusses the fee billing practices of the Advisor as a supplement to the Disclosure Brochure.

Material Changes

This is the initial filing of this Wrap Fee Program Brochure.

Future Changes

From time to time, we may amend this Wrap Fee Program Brochure to reflect changes in our business practices, changes in regulations and routine annual updates as required by the securities regulators. This complete Wrap Fee Program Brochure or a Summary of Material Changes shall be provided to each Client annually and if a material change occurs in the business practices of Basepoint.

At any time, you may view the current Wrap Fee Program Brochure on-line at the SEC's Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with our firm's name or CRD# 289538. You may also request a copy of this Wrap Fee Program Brochure at any time, by contacting us at (319) 826-1898.

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Item 4 – Services Fees and Compensation

Services

Basepoint Wealth Management, LLC (“Basepoint” or the “Advisor”) provides customized investment management and related advisory services for its Clients. This Wrap Fee Program Brochure is provided as a supplement to the Basepoint Disclosure Brochure (Form ADV 2A). This Wrap Fee Program Brochure is provided along with the complete Disclosure Brochure to provide full details of the business practices and fees when selecting Basepoint as your investment advisor.

As part of the investment advisory fee noted in Item 5 of the Disclosure Brochure, Basepoint includes normal securities transaction fees as part of the overall investment advisory fee. Securities regulations often refer to this combined fee structure as a “Wrap Fee Program”.

The sole purpose of this Wrap Fee Program Brochure is to provide additional disclosure relating the combination of securities transaction fees into the single “bundled” investment advisory fee. This Wrap Fee Program Brochure references back to the Basepoint Disclosure Brochure in which this Wrap Fee Program Brochure serves as an Appendix. **Please see Item 4 – Advisory Services of the Disclosure Brochure for details on Basepoint’s investment philosophy and related services.**

Program Costs

Advisory services provided by Basepoint are offered in a wrap fee structure whereby normal securities transaction costs are included in the overall investment advisory fee paid to Basepoint. As the level of trading in a Client’s account[s] may vary from year to year, the annual cost to the Client may be more or less than engaging for advisory services where the transactions costs are borne separately by the Client. The cost of the Wrap Fee Program varies depending on services to be provided to each Client, however, the Client is not charged more if there is higher trading activity in the Client’s account[s]. A Wrap Fee structure has a potential conflict of interest as the Advisor may have an incentive to limit the number of trades placed in the Client’s account[s]. **Please see Item 5 – Fees and Compensation of the Disclosure Brochure for complete details on fees.**

Fees

Investment Advisory Services

Investment advisory fees are paid monthly, at the end of each month, pursuant to the terms of the investment advisory agreement. Investment advisory fees are based on the average closing market value of assets under management in the account[s] for the month. Investment advisory fees range from 0.25% to 1.50% annually depending on the level of assets to be managed, the investment strategy[ies] to be employed and/or the complexity of services to be provided.

The investment advisory fee in the first month of service is prorated from the inception date of the account[s] to the end of the first month. Fees may be negotiable at the sole discretion of the Advisor. Certain Clients may have a fee schedule that differs from above. The Client’s fees will take into consideration the aggregate assets under management with Advisor. Investment advisory fees may include financial planning and consulting services, pursuant to the terms of the agreement[s] with the Advisor. All securities held in accounts managed by Basepoint will be independently valued by the Custodian. Basepoint will not have the authority or responsibility to value portfolio securities.

Investment advisory fees are calculated by the Advisor or its delegate and deducted from the Client’s account[s] at the Custodian. The amount due is calculated by applying the monthly rate (annual rate divided by 12) to the total assets under management with Basepoint at the end of each month. Clients will be provided with a statement, at least quarterly, from the Custodian reflecting deduction of the investment advisory fee. Clients provide written authorization permitting Basepoint to be paid directly from their accounts held by the Custodian as part of the investment advisory agreement and separate account forms provided by the Custodian.

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As noted above, the Wrap Fee Program includes normal securities trading costs incurred in connection with the discretionary investment management services provided by Basepoint. Securities transaction fees for Client-directed trades may be charged back to the Client.

In addition, all fees paid to Basepoint for investment advisory services or part of the Wrap Fee Program are separate and distinct from the expenses charged by mutual funds and exchange-traded funds to their shareholders, if applicable. These fees and expenses are described in each fund's prospectus. These fees and expenses will generally be used to pay management fees for the funds, other fund expenses, account administration (e.g., custody, brokerage and account reporting), and a possible distribution fee. The Client may also incur other costs assessed by the Custodian or other parties for account related activity fees, such as wire transfer fees, trade away fees and other fees. The Advisor does not control nor share in these fees. The Client should review both the fees charged by the fund[s] and the fees charged by Basepoint to fully understand the total fees to be paid. Please see Item 5.C. – Other Fees and Expenses in the Disclosure Brochure (included with this Wrap Fee Program Brochure).

Compensation

Basepoint is the sponsor and portfolio manager of this Wrap Fee Program. Basepoint receives investment advisory fee paid by Clients for investment advisory services covered under this Wrap Fee Program.

Item 5 – Account Requirements and Types of Clients

Basepoint offers investment advisory services to individuals, high net worth individuals, families, trusts, estates, businesses and pension plans. Basepoint generally does not impose a minimum size for establishing a relationship. However, certain investments and strategies may require certain minimums for effective implementation. Please see Item 7 – Types of Clients in the Disclosure Brochure for additional information.

Item 6 – Portfolio Manager Selection and Evaluation

Portfolio Manager Selection

Basepoint serves as the sponsor and portfolio manager for this Wrap Fee Program. Basepoint will use industry standards to calculate portfolio manager performance. Advisory services are detailed in Item 4 of the Disclosure Brochure.

Related Persons

Basepoint's Supervised Persons serve as portfolio managers for services under this Wrap Fee Program. Basepoint does not act as portfolio manager for any third-party wrap fee programs.

Supervised Persons

As noted above, Supervised Persons serve as a portfolio manager for the Wrap Fee Program. Please refer to the complete Disclosure Brochure (included with this Wrap Fee Program Brochure) for details on the services provided by Basepoint and the Brochure Supplement for the background of the Supervised Persons of Basepoint.

Performance-Based Fees

Basepoint does not charge performance-based fees for its investment advisory services. The fees charged by Basepoint are as described in "Item 5 – Fees and Compensation" above and are not based upon the capital appreciation of the funds or securities held by any Client.

Basepoint does not manage any proprietary investment funds or limited partnerships (for example, a mutual fund or a hedge fund) and has no financial incentive to recommend any particular investment options to its Clients.

Methods of Analysis

Please see Item 8 of the Disclosure Brochure (included with this Wrap Fee Program Brochure) for details on the research and analysis methods employed by the Advisor.

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Assets Under Management

Basepoint is a newly established advisor. As of November 15, 2018 Basepoint, has \$221,527,497 in discretionary assets and \$7,532,954 in non-discretionary assets.

Risk of Loss

Investing in securities involves certain investment risks. Securities may fluctuate in value or lose value. Clients should be prepared to bear the potential risk of loss. Basepoint will assist Clients in determining an appropriate strategy based on their tolerance for risk and other factors noted above. However, there is no guarantee that a Client will meet their investment goals.

Each Client engagement will entail a review of the Client's investment goals, financial situation, time horizon, tolerance for risk and other factors to develop an appropriate strategy for managing a Client's account[s]. Client participation in this process, including full and accurate disclosure of requested information, is essential for the analysis of a Client's account[s]. The Advisor shall rely on the financial and other information provided by the Client or their designees without the duty or obligation to validate the accuracy and completeness of the provided information. It is the responsibility of the Client to inform the Advisor of any changes in financial condition, goals or other factors that may affect this analysis.

Past performance is not a guarantee of future returns. Investing in securities and other investments involve a risk of loss that each Client should understand and be willing to bear. Clients are reminded to discuss these risks with the Advisor. Please see Item 8.B. – Risk of Loss in the Disclosure Brochure for details on investment risks.

Voting Client Securities

Basepoint does not accept proxy-voting responsibility for any Client. Clients will receive proxy statements directly from the Custodian. The Advisor will assist in answering questions relating to proxies, however, the Client retains the sole responsibility for proxy decisions and voting.

Item 7 – Client Information Provided to Portfolio Managers

Basepoint is the sponsor and sole portfolio manager for the Program. The Advisor does not share Client information with other portfolio managers because it is the sole portfolio manager for this Wrap Fee Program. Please also see the Basepoint Privacy Policy (included after this Wrap Fee Program Brochure).

Item 8 – Client Contact with Portfolio Managers

Basepoint is a full-service investment management advisory firm. Clients always have direct access to the Portfolio Managers at Basepoint.

Item 9 – Additional Information

Disciplinary Information and Other Financial Industry Activities and Affiliations

Disciplinary Information

Basepoint values the trust you place in us. As we advise all Clients, we encourage you to perform the requisite due diligence on any advisor or service provider with whom you partner. Our backgrounds are on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with our firm name or our CRD# 289538. Please see Item 9 of the Basepoint Disclosure Brochure as well as Item 3 of each Advisory Person's Brochure Supplement (included with this Wrap Fee Program Brochure) for additional information on how to research the background of the Advisor and its Advisory Persons.

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Form ADV Part 2B – Brochure Supplement

for

**Kathryn M. Wallace, CFP®, ChFC®, RICP®, APMA®
Senior Wealth Advisor, Managing Member**

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Kathryn M. Wallace (CRD# 4641895) in addition to the information contained in the Basepoint Wealth, LLC (“Basepoint” or the “Advisor”, CRD# 289538) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Basepoint Disclosure Brochure or this Brochure Supplement, please contact us at (319) 826-1898.

Additional information about Ms. Wallace is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with her full name or her Individual CRD# 4641895.

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Item 2 – Educational Background and Business Experience

Kathryn M. Wallace, CFP®, ChFC®, RICP®, APMA® born in 1978, is dedicated to advising Clients of Basepoint as a Senior Wealth Advisor. Ms. Wallace earned an Associate of Arts degree from Kirkwood Community College in 2001. Ms. Wallace earned a Bachelor of Social Science in Psychology & Secondary Education from Cornell College in 2003. Additional information regarding Ms. Wallace's employment history is included below.

Employment History:

Senior Wealth Advisor and Managing Member, Basepoint Wealth, LLC	10/2017 to Present
Financial Advisor, Ameriprise Financial Services, Inc.	06/2003 to 10/2017

CERTIFIED FINANCIAL PLANNER™ ("CFP®")

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP® (with flame design) marks (collectively, the "CFP® marks") are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP® Board").

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 71,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP® Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP® Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP® Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP® Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

Chartered Financial Consultant® (ChFC®)

The Chartered Financial Consultant® (ChFC®) program prepares you to meet the advanced financial planning needs of individuals, professionals and small business owners. You'll gain a sustainable advantage in this

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competitive field with in-depth coverage of the key financial planning disciplines, including insurance, income taxation, retirement planning, investments and estate planning. The ChFC® requires three years of full-time, relevant business experience, nine two-hour course specific proctored exams, and 30 hours of continuing education every two years. Holders of the ChFC® designation must adhere to The American College's Code of Ethics.

Program Objectives

- Function as an ethical, competent and articulate practitioner in the field of financial planning
- Utilize the intellectual tools and framework needed to maintain relevant and current financial planning knowledge and strategies.
- Apply financial planning theory and techniques through the development of case studies and solutions
- Apply in-depth knowledge in a holistic manner from a variety of disciplines; namely, estate planning, retirement planning or non-qualified deferred compensation.

Retirement Income Certified Professional® ("RICP®")

The RICP® designation teaches advisers techniques and best practices used to create sustainable streams of retirement income. The education covers retirement income planning, maximizing Social Security and other income sources, minimizing risks to the plan, and managing portfolios during the asset distribution phase. The designation includes three required, college-level courses that represent a total average study time of more than 150 hours. RICP® designees must meet experience, continuing education and ethics requirements. The credential is awarded by The American College, a non-profit educator with an 85-year heritage and the highest form of academic accreditation.

Accredited Portfolio Management AdvisorSM ("APMA®")

Individuals who hold the APMA® designation have completed a course of study encompassing client assessment and suitability, risk/return, investment objectives, bond and equity portfolios, modern portfolio theory and investor psychology. Students have hands-on practice in analyzing investment policy statements, building portfolios, and making asset allocation decisions including sell, hold, and buy decisions within a client's portfolio. Additionally, individuals must pass an end-of-course examination that tests their ability to synthesize complex concepts and apply theoretical concepts to real-life situations. All designees have agreed to adhere to Standards of Professional Conduct and are subject to a disciplinary process. Designees renew their designation every two-years by completing 16 hours of continuing education, reaffirming adherence to the Standards of Professional Conduct and complying with self-disclosure requirements.

Item 3 – Disciplinary Information

There are no legal, civil or disciplinary events to disclose regarding Ms. Wallace. Ms. Wallace has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Ms. Wallace.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Ms. Wallace.***

However, we do encourage you to independently view the background of Ms. Wallace on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with her full name or her Individual CRD# 4641895.

Item 4 – Other Business Activities

Ms. Wallace owns rental property.

Ms. Wallace is a volunteer at Board Member of Cedar Rapids Metro YMCA. This is a non-profit organization and receives no compensation for this activity.

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Item 5 – Additional Compensation

Ms. Wallace has additional business activities that are detailed in Item 4 above.

Item 6 – Supervision

Ms. Wallace serves as a Senior Wealth Advisor and Managing Member of Basepoint and is supervised by Katherine Orgies, the Chief Compliance Officer. Ms. Orgies can be reached at (319) 826-1898.

Basepoint has implemented a Code of Ethics and internal compliance that guide each Supervised Person in meeting their fiduciary obligations to Clients of Basepoint. Further, Basepoint is subject to regulatory oversight by various agencies. These agencies require registration by Basepoint and its Supervised Persons. As a registered entity, Basepoint is subject to examinations by regulators, which may be announced or unannounced. Basepoint is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.



Form ADV Part 2B – Brochure Supplement
for

W. Allen Wallace, CFP®, CPA, PFS, CFA
Director of Wealth Management, Managing Member

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of W. Allen Wallace (CRD# 4233166) in addition to the information contained in the Basepoint Wealth, LLC (“Basepoint” or the “Advisor”, CRD# 289538) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Basepoint Disclosure Brochure or this Brochure Supplement, please contact us at (319) 826-1898.

Additional information about Mr. Wallace is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 4233166.

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Item 2 – Educational Background and Business Experience

W. Allen Wallace, CFP®, CPA, PFS, CFA born in 1976, is dedicated to advising Clients of Basepoint as the Director of Wealth Management and Managing Member. Mr. Wallace also earned a Bachelor of Arts in Business Administration from Augustana College in 1998. Additional information regarding Mr. Wallace's employment history is included below.

Employment History:

Director of Wealth Management and Managing Member, Basepoint Wealth, LLC	10/2017 to Present
Financial Advisor, Ameriprise Financial Services, Inc.	05/2000 to 10/2017

CERTIFIED FINANCIAL PLANNER™ (“CFP®”)

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP® (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP® Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 71,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP® Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP® Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP® Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP® Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

Certified Public Accountant (“CPA”)

CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college

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education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two-year period or 120 hours over a three-year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous Code of Professional Conduct which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA's Code of Professional Conduct within their state accountancy laws or have created their own.

Personal Financial Specialist ("PFS")

The PFS credential demonstrates that an individual has met the minimum education, experience and testing required of a CPA in addition to a minimum level of expertise in personal financial planning. To attain the PFS credential, a candidate must hold an unrevoked CPA license, fulfill 3,000 hours of personal financial planning business experience, complete 80 hours of personal financial planning CPE credits, pass a comprehensive financial planning exam and be an active member of the AICPA. A PFS credential holder is required to adhere to AICPA's Code of Professional Conduct, and is encouraged to follow AICPA's Statement on Responsibilities in Financial Planning Practice. To maintain their PFS credential, the recipient must complete 60 hours of financial planning CPE credits every three years. The PFS credential is administered through the AICPA.

CFA – Chartered Financial Analyst

The Chartered Financial Analyst (CFA) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute - the largest global association of investment professionals. There are currently more than 90,000 CFA charterholders working in 134 countries. To earn the CFA charter, candidates must: 1) pass three sequential, six-hour examinations; 2) have at least four years of qualified professional investment experience; 3) join CFA Institute as members; and 4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

High Ethical Standards

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

Global Recognition

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA charterholders-often making the charter a prerequisite for employment.

Additionally, regulatory bodies in 22 countries and territories recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 125 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

Comprehensive and Current Knowledge

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment

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topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

To learn more about the CFA charter, visit www.cfainstitute.org.

Item 3 – Disciplinary Information

There are no legal, civil or disciplinary events to disclose regarding Mr. Wallace. Mr. Wallace has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Wallace.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Wallace.***

However, we do encourage you to independently view the background of Mr. Wallace on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 4233166.

Item 4 – Other Business Activities

Mr. Wallace owns rental property.

Item 5 – Additional Compensation

Mr. Wallace has additional business activities that are detailed in Item 4 above.

Item 6 – Supervision

Mr. Wallace serves as the Director of Wealth Management and Managing Member of Basepoint and is supervised by Katherine Orgies, the Chief Compliance Officer. Ms. Orgies can be reached at (319) 826-1898.

Basepoint has implemented a Code of Ethics and internal compliance that guide each Supervised Person in meeting their fiduciary obligations to Clients of Basepoint. Further, Basepoint is subject to regulatory oversight by various agencies. These agencies require registration by Basepoint and its Supervised Persons. As a registered entity, Basepoint is subject to examinations by regulators, which may be announced or unannounced. Basepoint is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.



Form ADV Part 2B – Brochure Supplement

for

Landis T. Wiley, CFP®
Senior Wealth Advisor, Managing Member

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Landis T. Wiley (CRD# 5940982) in addition to the information contained in the Basepoint Wealth, LLC (“Basepoint” or the “Advisor”, CRD# 289538) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Basepoint Disclosure Brochure or this Brochure Supplement, please contact us at (319) 826-1898.

Additional information about Mr. Wiley is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 5940982.

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Item 2 – Educational Background and Business Experience

Landis T. Wiley, born in 1983, is dedicated to advising Clients of Basepoint as a Senior Wealth Advisor and Managing Member. Mr. Wiley also earned a Bachelor of Arts in Business Administration from Coe College in 2007. Mr. Wiley earned an Associate of Arts from Kirkwood Community College in 2003. Additional information regarding Mr. Wiley's employment history is included below.

Employment History:

Senior Wealth Advisor and Managing Member, Basepoint Wealth, LLC	10/2017 to Present
Financial Advisor, Vice President, Ameriprise Financial Services, Inc.	03/2016 to 10/2017
Investment Adviser Representative, Princor Financial Services Corporation	07/2011 to 03/2016
Program Coordinator, Kirkwood Community College	07/2009 to 01/2011
High School Teacher, College Community School District	07/2007 to 06/2009

CERTIFIED FINANCIAL PLANNER™ (“CFP®”)

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP® (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP® Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 71,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP® Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP® Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP® Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP® Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

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Item 3 – Disciplinary Information

There are no legal, civil or disciplinary events to disclose regarding Mr. Wiley. Mr. Wiley has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Wiley.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Wiley.***

However, we do encourage you to independently view the background of Mr. Wiley on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 5940982.

Item 4 – Other Business Activities

Mr. Wiley is an Executive Treasurer and Board of Director at Cedar Rapids Country Club since April 2013. He allots 5 hours per month with no compensation for this activity. He is also a soccer official and a referee since August 1998 and allots 1-9 hours per month for this activity.

Item 5 – Additional Compensation

Mr. Wiley has additional business activities that are detailed in Item 4 above.

Item 6 – Supervision

Mr. Wiley serves as a Senior Wealth Advisor and Managing Member of Basepoint and is supervised by Katherine Orgies, the Chief Compliance Officer. Ms. Orgies can be reached at (319) 826-1898.

Basepoint has implemented a Code of Ethics and internal compliance that guide each Supervised Person in meeting their fiduciary obligations to Clients of Basepoint. Further, Basepoint is subject to regulatory oversight by various agencies. These agencies require registration by Basepoint and its Supervised Persons. As a registered entity, Basepoint is subject to examinations by regulators, which may be announced or unannounced. Basepoint is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.



Form ADV Part 2B – Brochure Supplement

for

Bryan J. Knudson, CFP®
Senior Wealth Advisor, Managing Member

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Bryan J. Knudson (CRD# 4642319) in addition to the information contained in the Basepoint Wealth, LLC (“Basepoint” or the “Advisor”, CRD# 289538) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Basepoint Disclosure Brochure or this Brochure Supplement, please contact us at (319) 826-1898.

Additional information about Mr. Knudson is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 4642319.

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Item 2 – Educational Background and Business Experience

Bryan J. Knudson, CFP®, born in 1979, is dedicated to advising Clients of Basepoint as a Senior Wealth Advisor and Managing Member. Mr. Knudson also earned a Bachelors of Arts in Marketing from Iowa State University in 2002. Mr. Knudson earned an Associate of Arts in Business from North Iowa Area Community College in 2000. Additional information regarding Mr. Knudson's employment history is included below.

Employment History:

Senior Wealth Advisor and Managing Member, Basepoint Wealth, LLC	10/2017 to Present
Financial Advisor, Ameriprise Financial Services, Inc.	08/2016 to 10/2017
Financial Advisor, Evanovich Blessing & Associates	11/2004 to 08/2016
Financial Advisor, American Express Financial Advisors	07/2003 to 10/2004

CERTIFIED FINANCIAL PLANNER™ (“CFP®”)

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The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 71,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP® Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP® Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP® Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP® Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

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Item 3 – Disciplinary Information

There are no legal, civil or disciplinary events to disclose regarding Mr. Knudson. Mr. Knudson has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Knudson.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Knudson.***

However, we do encourage you to independently view the background of Mr. Knudson on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 4642319.

Item 4 – Other Business Activities

Mr. Knudson has no outside business activities to report.

Item 5 – Additional Compensation

Mr. Knudson has additional business activities that are detailed in Item 4 above.

Item 6 – Supervision

Mr. Knudson serves as a Senior Wealth Advisor and Managing Member of Basepoint and is supervised by Katherine Orgies, the Chief Compliance Officer. Ms. Orgies can be reached at (319) 826-1898.

Basepoint has implemented a Code of Ethics and internal compliance that guide each Supervised Person in meeting their fiduciary obligations to Clients of Basepoint. Further, Basepoint is subject to regulatory oversight by various agencies. These agencies require registration by Basepoint and its Supervised Persons. As a registered entity, Basepoint is subject to examinations by regulators, which may be announced or unannounced. Basepoint is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.



Form ADV Part 2B – Brochure Supplement

for

Katherine E. Ortgies, CRPC®
Chief Compliance Officer

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Katherine E. Ortgies (CRD# 5919392) in addition to the information contained in the Basepoint Wealth, LLC (“Basepoint” or the “Advisor”, CRD# 289538) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Basepoint Disclosure Brochure or this Brochure Supplement, please contact us at (319) 826-1898.

Additional information about Mrs. Ortgies is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with her full name or her Individual CRD# 5919392.

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Item 2 – Educational Background and Business Experience

Katherine E. Ortgies, CRPC® born in 1986, is dedicated to advising Clients of Basepoint as the Chief Compliance Officer. Mrs. Ortgies also earned a Bachelor of Arts in History from University of Northern Iowa in 2008. Additional information regarding Mrs. Ortgies's employment history is included below.

Employment History:

Chief Compliance Officer, Basepoint Wealth, LLC	10/2017 to Present
Associate Financial Advisor, Ameriprise Financial Services, Inc.	05/2011 to 10/2017
Home Health Aide, Therapy Solutions	09/2009 to 05/2011
Environmental Services, Pella Regional Health Center	08/2008 to 05/2009

Chartered Retirement Planning Counselor ("CRPC®")

Individuals who hold the CRPC® designation have completed a course of study encompassing pre-and post-retirement needs, asset management, estate planning and the entire retirement planning process using models and techniques from real client situations. Additionally, individuals must pass an end-of-course examination that tests their ability to synthesize complex concepts and apply theoretical concepts to real-life situations. All designees have agreed to adhere to Standards of Professional Conduct and are subject to a disciplinary process. Designees renew their designation every two-years by completing 16 hours of continuing education, reaffirming adherence to the Standards of Professional Conduct and complying with self-disclosure requirements.

Item 3 – Disciplinary Information

There are no legal, civil or disciplinary events to disclose regarding Mrs. Ortgies. Mrs. Ortgies has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mrs. Ortgies.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mrs. Ortgies.***

However, we do encourage you to independently view the background of Mrs. Ortgies on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with her full name or her Individual CRD# 5919392.

Item 4 – Other Business Activities

Mrs. Ortgies is dedicated to the investment advisory activities of Basepoint's Clients. Mrs. Ortgies does not have any other business activities.

Item 5 – Additional Compensation

Mrs. Ortgies is dedicated to the investment advisory activities of Basepoint's Clients. Mrs. Ortgies does not receive any additional forms of compensation.

Item 6 – Supervision

Mrs. Ortgies serves as the Chief Compliance Officer of Basepoint and is supervised by Kathryn M. Wallace, the Senior Wealth Advisor and Managing Member. Ms. Wallace can be reached at (319) 826-1898.

Basepoint has implemented a Code of Ethics and internal compliance that guide each Supervised Person in meeting their fiduciary obligations to Clients of Basepoint. Further, Basepoint is subject to regulatory oversight by various agencies. These agencies require registration by Basepoint and its Supervised Persons. As a registered

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entity, Basepoint is subject to examinations by regulators, which may be announced or unannounced. Basepoint is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.



Form ADV Part 2B – Brochure Supplement
for

Chris K. Blanchard, ChFC®
Senior Wealth Advisor

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Chris K. Blanchard, ChFC® (CRD# 712680) in addition to the information contained in the Basepoint Wealth, LLC (“Basepoint” or the “Advisor”, CRD# 289538) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Basepoint Disclosure Brochure or this Brochure Supplement, please contact us at (319) 826-1898.

Additional information about Mr. Blanchard is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 712680.

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Item 2 – Educational Background and Business Experience

Chris K. Blanchard, ChFC®, born in 1951, is dedicated to advising Clients of Basepoint as a Senior Wealth Advisor. Mr. Blanchard also earned a Bachelor of Arts in Elementary Education from the University of Northern Iowa in 1973. Additional information regarding Mr. Blanchard's employment history is included below.

Employment History:

Senior Wealth Advisor, Basepoint Wealth, LLC	10/2017 to Present
Associate Financial Advisor, Ameriprise Financial Services	11/2012 to 10/2017
Franchise Advisor, Ameriprise Financial Services	08/1980 to 11/2012

Chartered Financial Consultant® (ChFC®)

The Chartered Financial Consultant® (ChFC®) program prepares you to meet the advanced financial planning needs of individuals, professionals and small business owners. You'll gain a sustainable advantage in this competitive field with in-depth coverage of the key financial planning disciplines, including insurance, income taxation, retirement planning, investments and estate planning. The ChFC® requires three years of full-time, relevant business experience, nine two-hour course specific proctored exams, and 30 hours of continuing education every two years. Holders of the ChFC® designation must adhere to The American College's Code of Ethics.

Program Objectives

- Function as an ethical, competent and articulate practitioner in the field of financial planning
- Utilize the intellectual tools and framework needed to maintain relevant and current financial planning knowledge and strategies.
- Apply financial planning theory and techniques through the development of case studies and solutions
- Apply in-depth knowledge in a holistic manner from a variety of disciplines; namely, estate planning, retirement planning or non-qualified deferred compensation.

Item 3 – Disciplinary Information

There are no legal, civil or disciplinary events to disclose regarding Mr. Blanchard. Mr. Blanchard has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Blanchard.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Blanchard.***

However, we do encourage you to independently view the background of Mr. Blanchard on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 712680.

Item 4 – Other Business Activities

Mr. Blanchard has no outside business activities to report.

Item 5 – Additional Compensation

Mr. Blanchard has additional business activities that are detailed in Item 4 above.

Item 6 – Supervision

Mr. Blanchard serves as a Senior Wealth Advisor of Basepoint and is supervised by Katherine Ortgies, the Chief Compliance Officer. Ms. Ortgies can be reached at (319) 826-1898.

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Basepoint has implemented a Code of Ethics and internal compliance that guide each Supervised Person in meeting their fiduciary obligations to Clients of Basepoint. Further, Basepoint is subject to regulatory oversight by various agencies. These agencies require registration by Basepoint and its Supervised Persons. As a registered entity, Basepoint is subject to examinations by regulators, which may be announced or unannounced. Basepoint is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.



Form ADV Part 2B – Brochure Supplement
for

**Gary L. Godfrey, ChFC® RICP®
Senior Wealth Advisor**

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Gary L. Godfrey, ChFC® (CRD# 3239117) in addition to the information contained in the Basepoint Wealth, LLC (“Basepoint” or the “Advisor”, CRD# 289538) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Basepoint Disclosure Brochure or this Brochure Supplement, please contact us at (319) 826-1898.

Additional information about Mr. Godfrey is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 3239117.

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Item 2 – Educational Background and Business Experience

Gary L. Godfrey, ChFC®, born in 1953, is dedicated to advising Clients of Basepoint as a Senior Wealth Advisor. Mr. Godfrey earned a Masters in Business Administration from the University of Iowa in 1989 and a Bachelor of Science in Electrical Engineering from the University of Iowa in 1976. Additional information regarding Mr. Godfrey's employment history is included below.

Employment History:

Senior Wealth Advisor, Basepoint Wealth, LLC	10/2017 to Present
Franchise Advisor, Ameriprise Financial Services	06/1999 to 10/2017
Registered Representative, IDS Life Insurance Company	06/1999 to 07/2006
Registered Representative, American Express Financial Advisors Inc.	06/1999 to 09/2005

Chartered Financial Consultant® (ChFC®)

The Chartered Financial Consultant® (ChFC®) program prepares you to meet the advanced financial planning needs of individuals, professionals and small business owners. You'll gain a sustainable advantage in this competitive field with in-depth coverage of the key financial planning disciplines, including insurance, income taxation, retirement planning, investments and estate planning. The ChFC® requires three years of full-time, relevant business experience, nine two-hour course specific proctored exams, and 30 hours of continuing education every two years. Holders of the ChFC® designation must adhere to The American College's Code of Ethics.

Program Objectives

- Function as an ethical, competent and articulate practitioner in the field of financial planning
- Utilize the intellectual tools and framework needed to maintain relevant and current financial planning knowledge and strategies.
- Apply financial planning theory and techniques through the development of case studies and solutions
- Apply in-depth knowledge in a holistic manner from a variety of disciplines; namely, estate planning, retirement planning or non-qualified deferred compensation.

Retirement Income Certified Professional® ("RICP®")

The RICP® designation teaches advisers techniques and best practices used to create sustainable streams of retirement income. The education covers retirement income planning, maximizing Social Security and other income sources, minimizing risks to the plan, and managing portfolios during the asset distribution phase. The designation includes three required, college-level courses that represent a total average study time of more than 150 hours. RICP® designees must meet experience, continuing education and ethics requirements. The credential is awarded by The American College, a non-profit educator with an 85-year heritage and the highest form of academic accreditation.

Item 3 – Disciplinary Information

There are no legal, civil or disciplinary events to disclose regarding Mr. Godfrey. Mr. Godfrey has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Godfrey.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Godfrey.***

However, we do encourage you to independently view the background of Mr. Godfrey on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 3239117.

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Item 4 – Other Business Activities

Mr. Godfrey has no outside business activities to report

Item 5 – Additional Compensation

Mr. Godfrey has additional business activities that are detailed in Item 4 above.

Item 6 – Supervision

Mr. Godfrey serves as a Senior Wealth Advisor of Basepoint and is supervised by Katherine Orgies, the Chief Compliance Officer. Ms. Orgies can be reached at (319) 826-1898.

Basepoint has implemented a Code of Ethics and internal compliance that guide each Supervised Person in meeting their fiduciary obligations to Clients of Basepoint. Further, Basepoint is subject to regulatory oversight by various agencies. These agencies require registration by Basepoint and its Supervised Persons. As a registered entity, Basepoint is subject to examinations by regulators, which may be announced or unannounced. Basepoint is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.



Form ADV Part 2B – Brochure Supplement

for

Ronnie R. Malick
Senior Wealth Advisor

This Form ADV 2B ("Brochure Supplement") provides information about the background and qualifications of Ronnie R. Malick (CRD# 1413574) in addition to the information contained in the Basepoint Wealth, LLC ("Basepoint" or the "Advisor", CRD# 289538) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Basepoint Disclosure Brochure or this Brochure Supplement, please contact us at (319) 826-1898.

Additional information about Mr. Malick is available on the SEC's Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 1413574.

Basepoint Wealth, LLC
4144 Golf Street NE, Cedar Rapids, IA 52402
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Fax: (319) 826-1471
<http://BasepointWealth.com>

Item 2 – Educational Background and Business Experience

Ronnie R. Malick, born in 1951, is dedicated to advising Clients of Basepoint as a Senior Wealth Advisor. Additional information regarding Mr. Malick's employment history is included below.

Employment History:

Senior Wealth Advisor, Basepoint Wealth, LLC	10/2017 to Present
Financial Advisor, Ameriprise Financial Services, Inc.	11/1985 to 10/2017

Chartered Financial Consultant® (ChFC®)

The Chartered Financial Consultant® (ChFC®) program prepares you to meet the advanced financial planning needs of individuals, professionals and small business owners. You'll gain a sustainable advantage in this competitive field with in-depth coverage of the key financial planning disciplines, including insurance, income taxation, retirement planning, investments and estate planning. The ChFC® requires three years of full-time, relevant business experience, nine two-hour course specific proctored exams, and 30 hours of continuing education every two years. Holders of the ChFC® designation must adhere to The American College's Code of Ethics.

Program Objectives:

- Function as an ethical, competent and articulate practitioner in the field of financial planning
- Utilize the intellectual tools and framework needed to maintain relevant and current financial planning knowledge and strategies.
- Apply financial planning theory and techniques through the development of case studies and solutions.
- Apply in-depth knowledge in a holistic manner from a variety of disciplines; namely, estate planning, retirement planning or non-qualified deferred compensation.

Item 3 – Disciplinary Information

There are no legal, civil or disciplinary events to disclose regarding Mr. Malick. Mr. Malick has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Malick.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Malick.***

However, we do encourage you to independently view the background of Mr. Malick on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 1413574.

Item 4 – Other Business Activities

Mr. Malick is dedicated to the investment advisory activities of Basepoint's Clients. Mr. Malick does not have any other business activities.

Item 5 – Additional Compensation

Mr. Malick is dedicated to the investment advisory activities of Basepoint's Clients. Mr. Malick does not receive any additional forms of compensation.

Item 6 – Supervision

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Mr. Malick serves as a Senior Wealth Advisor of Basepoint and is supervised by Katherine Orgies, the Chief Compliance Officer. Ms. Orgies can be reached at (319) 826-1898.

Basepoint has implemented a Code of Ethics and internal compliance that guide each Supervised Person in meeting their fiduciary obligations to Clients of Basepoint. Further, Basepoint is subject to regulatory oversight by various agencies. These agencies require registration by Basepoint and its Supervised Persons. As a registered entity, Basepoint is subject to examinations by regulators, which may be announced or unannounced. Basepoint is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.



Form ADV Part 2B – Brochure Supplement

for

Scott Cooley
Investment Adviser Representative

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Scott Cooley (CRD# 6011648) in addition to the information contained in the Basepoint Wealth, LLC (“Basepoint” or the “Advisor”, CRD# 289538) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Basepoint Disclosure Brochure or this Brochure Supplement, please contact us at (319) 826-1898.

Additional information about Mr. Cooley is available on the SEC’s Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 6011648.

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Item 2 – Educational Background and Business Experience

Scott Cooley, born in 1986, is dedicated to advising Clients of Basepoint as an Investment Adviser Representative. Additional information regarding Mr. Cooley's employment history is included below.

Employment History:

Investment Adviser Representative, Basepoint Wealth LLC	09/2018 to Present
Financial Advisor, Northwestern Mutual	01/2012 to 09/2018
Bartender/Waiter, Riverside Casino and Golf Resort	08/2006 to 06/2012
Sales Consultant, Vive Media	09/2011 to 01/2012
Media Consultant, Yellowbook	05/2010 to 09/2011
Research Assistant, VA Hospital	02/2010 to 08/2010

CFP® - Certified Financial Planner

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the "CFP® marks") are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board").

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board's *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- i. Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial planning field; and
- ii. Ethics – Renew an agreement to be bound by the *Standards of Professional Conduct*. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

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ChFC®- Chartered Financial Consultant®

ChFC® MINIMUM QUALIFICATIONS:

- Bachelor's degree or its equivalent, in any discipline, from an accredited university, this qualifies as one year of business experience
- Three years of full-time business experience is required; this three-year period must be within the five years preceding the date of the award (part-time qualifying business experience is also credited toward the three-year requirement with 2,000 hours representing the equivalent of one year full-time experience).
- Must fulfill the ChFC® seven course curriculum, as well as two additional elective courses
- Pass the exams for all required and elective courses
- Pass a background check and candidate fitness standards test. You must reveal any criminal history, pending litigation or ethical violations. The CFP board verifies all employment history, qualifications and disciplinary issues via FINRA's Central Registration Depository.

CLU®- Chartered Life Underwriter®

- Once fulfilling the ChFC® designation, one may also earn the CLU® designation by completing a minimum of three additional courses.
- For the CLU®, one must complete the remaining core courses and select from the electives list for that program if additional courses are still needed; electives in the ChFC® program may not be used as electives in the CLU® program.

Item 3 – Disciplinary Information

There are no legal, civil or disciplinary events to disclose regarding Mr. Cooley. Mr. Cooley has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Cooley.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Cooley.***

However, we do encourage you to independently view the background of Mr. Cooley on the Investment Adviser Public Disclosure website at www.adviserinfo.sec.gov by searching with his full name or his Individual CRD# 6011648.

Item 4 – Other Business Activities

Mr. Cooley is dedicated to the investment advisory activities of Basepoint's Clients. Mr. Cooley does not have any other business activities.

Item 5 – Additional Compensation

Mr. Cooley is dedicated to the investment advisory activities of Basepoint's Clients. Mr. Cooley does not receive any additional forms of compensation.

Item 6 – Supervision

Mr. Cooley serves as an Investment Adviser Representative of Basepoint and is supervised by Katherine Ortgies, the Chief Compliance Officer. Ms. Ortgies can be reached at (319) 826-1898.

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Basepoint has implemented a Code of Ethics and internal compliance that guide each Supervised Person in meeting their fiduciary obligations to Clients of Basepoint. Further, Basepoint is subject to regulatory oversight by various agencies. These agencies require registration by Basepoint and its Supervised Persons. As a registered entity, Basepoint is subject to examinations by regulators, which may be announced or unannounced. Basepoint is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.

Privacy Policy

Effective Date: May 3, 2018

Our Commitment to You

Basepoint Wealth, LLC ("Basepoint" or the "Advisor") is committed to safeguarding the use of personal information of our Clients (also referred to as "you" and "your") that we obtain as your Investment Advisor, as described here in our Privacy Policy ("Policy").

Our relationship with you is our most important asset. We understand that you have entrusted us with your private information, and we do everything that we can to maintain that trust. Basepoint (also referred to as "we", "our" and "us") protects the security and confidentiality of the personal information we have and implements controls to ensure that such information is used for proper business purposes in connection with the management or servicing of our relationship with you.

Basepoint does not sell your non-public personal information to anyone. Nor do we provide such information to others except for discrete and reasonable business purposes in connection with the servicing and management of our relationship with you, as discussed below.

Details of our approach to privacy and how your personal non-public information is collected and used are set forth in this Policy.

Why you need to know?

Registered Investment Advisors ("RIAs") must share some of your personal information in the course of servicing your account. Federal and State laws give you the right to limit some of this sharing and require RIAs to disclose how we collect, share, and protect your personal information.

What information do we collect from you?

Social security or taxpayer identification number	Assets and liabilities
Name, address and phone number(s)	Income and expenses
E-mail address(es)	Investment activity
Account information (including other institutions)	Investment experience and goals

What Information do we collect from other sources?

Custody, brokerage and advisory agreements	Account applications and forms
Other advisory agreements and legal documents	Investment questionnaires and suitability documents
Transactional information with us or others	Other information needed to service account

How do we protect your information?

To safeguard your personal information from unauthorized access and use we maintain physical, procedural and electronic security measures. These include such safeguards as secure passwords, encrypted file storage and a secure office environment. Our technology vendors provide security and access control over personal information and have policies over the transmission of data. Our associates are trained on their responsibilities

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to protect Client's personal information.

We require third parties that assist in providing our services to you to protect the personal information they receive from us.

How do we share your information?

An RIA shares Client personal information to effectively implement its services. In the section below, we list some reasons we may share your personal information.

Basis For Sharing	Do we share?	Can you limit?
Servicing our Clients We may share non-public personal information with non-affiliated third parties (such as administrators, brokers, custodians, regulators, credit agencies, other financial institutions) as necessary for us to provide agreed upon services to you, consistent with applicable law, including but not limited to: processing transactions; general account maintenance; responding to regulators or legal investigations; and credit reporting.	Yes	No
Marketing Purposes Basepoint does not disclose, and does not intend to disclose, personal information with non-affiliated third parties to offer you services. Certain laws may give us the right to share your personal information with financial institutions where you are a customer and where Basepoint or the client has a formal agreement with the financial institution. We will only share information for purposes of servicing your accounts, not for marketing purposes.	No	Not Shared
Authorized Users Your non-public personal information may be disclosed to you and persons that we believe to be your authorized agent(s) or representative(s).	Yes	Yes
Information About Former Clients Basepoint does not disclose and does not intend to disclose, non-public personal information to non-affiliated third parties with respect to persons who are no longer our Clients.	No	Not Shared

Changes to our Privacy Policy

We will send you a copy of this Policy annually for as long as you maintain an ongoing relationship with us.

Periodically we may revise this Policy, and will provide you with a revised policy if the changes materially alter the previous Privacy Policy. We will not, however, revise our Privacy Policy to permit the sharing of non-public personal information other than as described in this notice unless we first notify you and provide you with an opportunity to prevent the information sharing.

Any Questions?

You may ask questions or voice any concerns, as well as obtain a copy of our current Privacy Policy by contacting us at (319) 826-1898.

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