



## **WealthVenue Partners Inc.**

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### **Form ADV Part 2A**

#### **Firm Brochure**

**November 1, 2019**

This Brochure provides information about the qualifications and business practices of WealthVenue Partners Inc.. If you have any questions about the contents of this Brochure, please contact us at 855-229-1110, or via email at [office@wealthvenue.com](mailto:office@wealthvenue.com). The information in this Brochure has not been approved or verified by the United States Securities and Exchange Commission, or by any state securities authority.

WealthVenue Partners Inc. is a registered investment advisory firm. Registration of an investment advisory firm does not imply a particular level of skill or training.

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

**ITEM 2****Material Changes****Annual Update**

The Material Changes section of this brochure will be updated annually, or when material changes occur since the previous release of our Firm Brochure. This Item discusses only specific material changes that are made to this Brochure and provides our clients with a summary of such changes.

**Material Changes since the Last Update**

WealthVenue Partners Inc. is a newly registered investment advisory firm in 2019.

**Full Brochure and Additional Information**

Full Brochure and additional information about WealthVenue Partners Inc. are available via the SEC's website [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). The SEC's website also provides information about any persons affiliated with us who are registered or are required to be registered, as investment adviser representatives ("IAR").

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## **Advisory Business**

### **FIRM INFORMATION**

WealthVenue Partners Inc. ("WealthVenue," "we," "us," "our"), a corporation formed in 2015, is a registered investment advisory firm located in Cheyenne, Wyoming.

### **PRINCIPAL OWNERS**

WealthVenue is owned and controlled by Richard Bigot, its Managing Member and Chief Compliance Officer.

### **INVESTMENT ADVISORY SERVICES**

#### **Asset Management Services:**

We provide asset management services through our WealthBuilder Portfolio Series available via our online portal. Access to our portfolios is offered on a discretionary and non-discretionary basis in which we either manage your custodial accounts or provide portfolio recommendations and provide you with continuous and ongoing supervision of your accounts. Our WealthBuilder Portfolio Series include investment opportunities among stocks, bonds, mutual funds, exchange-traded funds (ETFs), Real Estate Investment Trusts (REITs), options, and additional securities.

Our process begins with prospective clients answering several questions via an online questionnaire in order to determine the appropriate mix of securities that should exist within their investment portfolios. Next, WealthVenue recommends a portfolio based on the prospective client's responses. Once agreed to, WealthVenue will either manage the client's portfolio, or the client may choose to manage the portfolio independently. Clients managing their own portfolios may also sign up for rebalancing alerts and guidance through our web application. WealthVenue's online portal also creates customized investment portfolios for clients subject to asset minimums as described in Item 5 below.

#### **Index Licensing**

Through its online portal, WealthVenue also offers subscription-based portfolio index data licenses. These licenses are available either on a Portfolio Index Licensing basis or a Direct Index Licensing basis.

#### *Portfolio Index*

WealthVenue's Portfolio Index permits the Licensee to incorporate the actionable output of our portfolio strategies into their trading and investment management decisions at the Licensee's discretion. WealthVenue monitors the portfolio indexes on a daily basis and notifies Licensees regarding any portfolio changes recommended by the underlying strategy. For Licensees utilizing the Portfolio Index License services, any decision to trade, as well as the responsibility for the trade orders, remains exclusively with the Licensee. WealthVenue has no relationship with any of the Licensee's clients, and the Licensee is solely responsible for determining the suitability for their clients and for providing ongoing investment supervisory services based on the needs and circumstances of their clients.

### Direct Index

For Direct Index License subscribers, WealthVenue may manage the assets of its Licensees on either a discretionary or nondiscretionary basis. WealthVenue will monitor the portfolio indexes on a daily basis and proceed with any portfolio changes recommended by the underlying strategy. Subscribers may choose to utilize WealthVenue's portfolio indexes or the portfolio indexes of a third party.

### **CLIENT INVESTMENT OBJECTIVES/RESTRICTIONS**

WealthVenue offers the same suite of services to all our clients. However, specific client recommendations are dependent upon the individual client's response to the questionnaire which outlines a client's current financial situation such as income, net worth and risk tolerance levels. This information is essential in the development of client-specific portfolio recommendations in the selection of investments that matches restrictions, needs, and targets. On a case by case basis, our clients may impose restrictions on investing in certain securities or types of securities in accordance with their values or beliefs.

### **WRAP FEE PROGRAMS**

WealthVenue does not participate in, recommend, or offer wrap fee programs.

### **ASSETS UNDER MANAGEMENT**

As of November 1, 2019, WealthVenue is a newly registered investment advisory firm with the SEC and currently does not have any assets under management.

## **ITEM 5 Fees and Compensation**

### **ANNUAL FEES FOR ADVISORY SERVICES**

WealthVenue is compensated for providing asset management services by charging a negotiable fee based on the total assets under management. The fees and billing will be pre-determined in writing in the Investment Advisory Agreement executed by you and WealthVenue.

The below ranges are the standard fee ranges that are typically charged.

| <b>WealthBuilder Portfolio Fee Schedule</b> |                         |                   |
|---|-------------------------|-------------------|
| <b>Service</b>                              | <b>AUM</b>              | <b>Annual Fee</b> |
| WealthBuilder Portfolio Series              | \$0 - \$10,000          | \$0               |
|   | \$10,001 - \$100,000    | \$300             |
|   | \$100,001 - \$1,000,000 | \$900             |
|   | Over \$1,000,000        | \$900 per \$1M    |
| Custom Portfolio                            | Over \$1,000,000        | Negotiable        |

| <b>WealthVenue Portfolio Indexing Services</b> |                   |
|--|-------------------|
| <b>Service</b>                                 | <b>Annual Fee</b> |
| Portfolio Index Licensing                      | \$5,000 or 0.10%  |

| WealthVenue Direct Indexing Services |   |
|--------------------------------------|---|
| Service                              | Annual Fee  |
| WealthVenue Indexes*                 | \$1,000 Licensing Fee + WealthBuilder Portfolio Fee |
| Third Party Index*                   | Licensing Fee of Third Party + Negotiable AUM Fee   |

\*minimum assets under management of \$100,000

| Additional Services Fee Schedule              |            |
|---|------------|
| Service                                       | Annual Fee |
| Web Application Rebalancing Alerts & Guidance | \$180      |

## FEE BILLING & PAYMENT

### Asset Management Fees

The asset management fees for our WealthBuilder Portfolio Series are annual fees and may be negotiable. Asset management fees are paid monthly in arrears. Payments are due on the first day of the proceeding calendar month and are based on the account's asset value as of the last business day of the prior month. The fee for the month is billed and payable within ten (10) days after the end of the month, based on the value of Client's account on the last business day of that month. We will deduct our asset management fee only when in receipt of your written authorization by executing an investment advisory agreement permitting the fees to be paid directly from your account. The qualified custodian will deliver an account statement to you at least quarterly which will show all disbursements from your account. We urge you to review all statements for accuracy.

You are responsible for all third-party fees (i.e., custodian fees, mutual fund fees, transaction fees, etc.). These fees are separate and distinct from the fees and expenses charged by WealthVenue.

### Web Application Fees

Client utilizing WealthVenue's web application for portfolio rebalancing alerts and buy/sell guidance for their WealthBuilder Portfolio Series accounts will pay an annual fee of \$180, payable in advance. These fees will be payable via a third-party payment processor.

### Portfolio Index Licensing

The annual minimum fee for Portfolio Index Licensing is the greater of \$5,000 or 10 basis points, payable in advance. These fees will be payable via a third-party payment processor.

## TERMINATION OF AGREEMENT

Either party may terminate the investment advisory agreement by providing 30-day advance notice. Upon termination of any account, any prepaid, unearned fees will be promptly refunded, and any earned, unpaid fees will be due and payable up to and including the effective date of termination.

Notwithstanding the above, if we do not deliver the appropriate disclosure statement to you at least 48 hours prior to you entering into any written or oral advisory contract with this us, then you have

the right to terminate the contract without penalty within five (5) business days after entering into the contract.

### **OTHER EXPENSES AND FEES**

The fees discussed above include payment solely for the investment advisory services provided by us and are separate to certain fees or charges that are imposed by third parties in connection with investments made on your behalf for your account. Third-party fees may include markdowns, markups, brokerage commissions, other transaction costs and/or custodial fees.

Also, all fees paid to us for asset management services are separate from the expenses charged by exchange-traded funds and mutual funds to their shareholders. These fees and expenses will be used to pay management fees for the funds, other fund expenses, account administration, and a possible distribution fee. Exchanged traded funds and mutual funds can be invested in directly by you without our services. However, you would not receive our services to assist you in determining which products or services are most suitable for your financial situation and objectives. You should review both the fees we charge and the fees charged by the fund(s) to understand the total fees to be paid fully.

## **ITEM 6 Performance-Based Fees and Side-By-Side Management**

We do not charge performance-based fees which are fees based on a share of capital gains on or capital appreciation of the assets of a client.

## **ITEM 7 Types of Clients**

We provide our investment advisory services to:

- Individuals
- High Net Worth Individuals
- Corporations
- Other business entities

We do not have any minimum account size requirements for opening an account with us. The minimum fee for Portfolio Index Licensing is the greater of \$5,000 or 10 basis points.

## **ITEM 8 Methods of Analysis, Investment Strategies, and Risk of Loss**

### **METHODS OF ANALYSIS**

Our online portal uses various methods of analysis and investment strategies including the following:

**Technical Analysis** – This method involves the evaluation of securities by performing an analysis of static information that is generated by market activity, such as past prices and volume. Technical analysis does not attempt to measure a security's intrinsic value but instead, use charts and other

tools to determine the patterns that can suggest future activity. Technical analysts believe that the historical performance of stocks and markets are indications of future performance.

**Proprietary Algorithms** - WealthVenue utilizes proprietary algorithms to generate portfolio performance on a daily basis. Its algorithms do not consider any inputs other than what is generated by the author of the algorithm. No third parties are involved in the construction or maintenance of the algorithm and the algorithm is not made available to all clients or any third party.

## INVESTMENT STRATEGIES

When formulating investment advice or managing client assets, the portal will use the following investment strategies. There are inherent risks associated with each of these strategies.

**Long-Term Strategy** - A long-term strategy may not take advantage of short-term gains or may experience more volatility over the life of the portfolio.

Your accounts are managed separately with your underlying investment strategies, restrictions, or investment limitations defined within the investment advisory agreement.

## POTENTIAL RISKS

Investing involves different levels of risk that can result in loss of any profits and/or principal you have not realized. Your account is managed in a manner consistent with your pre-determined risk tolerance and suitability profile. However, we cannot guarantee that our efforts will be successful. Investing in securities involves the risk of loss clients should be prepared to bear.

**Investing involves the assumption of risk including:**

**Financial Risk:** the risk that the companies we recommend to you perform poorly, which affect the price of your investment.

**Market Risk:** the risk that the stock market will decline, decreasing the value of the securities we recommend to you with it.

**Inflation Risk:** the risk that the rate of price increases in the economy deteriorates the returns associated with the stock.

**Political and Governmental Risk:** the risk that the value of your investment will be affected by the introduction of new laws or regulations.

**Interest Rate Risk:** the risk that the value of the investments we recommend to you will fall if interest rates rise.

**Call Risk:** the risk that your investment will be called or purchased back from you when conditions are favorable to the bond issuer and unfavorable to you.

**Default Risk:** the risk that issuer is unable to pay the contractual interest or principal on the investment promptly or at all.

**Manager Risk:** the risk that an actively managed mutual fund's investment adviser will fail to execute the fund's stated investment strategy.



**Industry Risk:** the risk that a group of stocks in a single industry will decline in price due to adverse developments in that industry, decreasing the value of mutual funds that are significantly invested in that industry.

**Algorithmic Risk** - Algorithms are subject to human error. While WealthVenue strives to avoid this error, it is impossible to eliminate it entirely

## **ITEM 9** Disciplinary Information

As of the date of this brochure, we have not been subject to any disciplinary, legal, or regulatory events related to past or present investment clients. There has been no disciplinary, legal, or regulatory events related to us or any of our management persons.

## **ITEM 10** Other Financial Activities and Affiliations

### **FINANCIAL INDUSTRY ACTIVITIES**

Neither WealthVenue nor its management persons are registered or has an application pending to register as a broker-dealer or a registered representative of a broker-dealer.

Neither WealthVenue nor its management persons are registered or has an application pending to register as a futures commission merchant, commodity pool operator or commodity trading advisor.

### **OTHER INDUSTRY AFFILIATIONS**

Richard Bigot is the principal and Chief Technology Officer of Northstar Capital Corp, a software and portfolio analytics firm created for investment managers. WealthVenue Indexes are constructed with the assistance of Northstar Capital Corp. From time to time, WealthVenue may use the software tools and data created by Northstar Capital. This arrangement may create a conflict of interest; however, WealthVenue and Mr. Bigot will always place the clients' interest ahead of their own.

Richard Bigot is the Managing Director of Fox Capital Investment, a private family office fund. Investment strategies used by WealthVenue might be shared with Fox Capital Investment. Furthermore, Fox Capital Investment may use the technology convenience of WealthVenue's web application for portfolio strategies monitoring and rebalancing guidance. This arrangement may create a conflict of interest; however, WealthVenue and Mr. Bigot will always place the clients' interest ahead of their own.

### **SELECTION OF OTHER INVESTMENT ADVISERS**

We do not recommend or select third-party investment advisers for our clients.

## **ITEM 11** Code of Ethics, Participation in Client Transactions and Personal Trading

### **CODE OF ETHICS**

WealthVenue has developed a code of ethics that will apply to all of our supervised persons. We and our IARs must act in a fiduciary capacity when providing investment advisory services to you. As a fiduciary, it is an investment adviser's responsibility to provide fair and full disclosure of all material

facts and to act solely in the best interest of each of our clients at all times. WealthVenue has a fiduciary duty to all clients. This fiduciary duty is considered the core underlying principle of our code of ethics, which also covers our insider trading, and personal securities transactions policies and procedures. We require all of our supervised persons to conduct business with the highest level of ethical standards and to comply with all federal and state securities laws at all times. Upon employment or affiliation and at least annually thereafter, all supervised persons will acknowledge that they have read, understand and agree to comply with our Code of Ethics.

Our Code of Ethics is available to clients and prospective clients upon request.

### **RECOMMENDATIONS INVOLVING A MATERIAL FINANCIAL INTEREST**

Neither we nor any related person recommend to clients, or buys or sells for clients' accounts, securities in which we or a related person has a material financial interest.

### **PARTICIPATION OR INTEREST IN CLIENT TRANSACTIONS**

There may be instances where an IAR will recommend to investment advisory clients or prospective clients the purchase or sale of securities in which an IAR, its affiliates or other clients may also have a position or interest. Certain affiliated accounts may trade in the same securities with client accounts on an aggregated basis. Generally, in such circumstances, the affiliated and client accounts will share execution costs equally. Completed trade orders will be allocated according to the instructions from the initial trade order. Partially filled trade orders will be allocated on a pro-rata basis. Any exceptions will be explained in the trade order.

### **PERSONAL TRADING**

Employees are permitted to have personal securities accounts as long as personal investing practices are in line with fiduciary standards and regulatory requirements, and do not conflict with their duty to WealthVenue and our clients. WealthVenue monitors and controls personal trading through pre-approval of all personal securities transactions or blackout periods imposed upon employees trading in the same securities as WealthVenue. We forbid any officer or employee, either personally or on behalf of others, to trade on material, nonpublic information or to communicate such information to others in violation of the law.

## **ITEM 12 Brokerage Practices**

WealthVenue currently has arrangements with Interactive Brokers LLC. Interactive Brokers is the unaffiliated qualified custodian whereby WealthVenue would suggest you custody your accounts. Interactive Brokers is an independent SEC-registered broker-dealer and a member of FINRA and SIPC.

As a fiduciary, we are obligated to seek out the best execution of client transactions for that accounts that we manage. In general, the execution of securities transactions is at a total cost to process each transaction and are the most favorable under the circumstances. However, we do not limit the best execution to the lowest available price. Additional factors are taken into consideration when determining the arrangement and services in the selection of a broker-dealer or qualified custodian. Our review consists of reviewing the commission and fee structures of various broker-dealers, research platform, and execution services. Accordingly, while we do consider competitive rates, we do not necessarily obtain the lowest possible commission rates for account transactions. Therefore, the overall services provided by unaffiliated broker-dealers and qualified custodians are evaluated

to determine the best execution. You may pay trade execution charges and higher commissions through the trading platforms approved by us than through platforms that have not been approved by us.

### **RESEARCH AND OTHER SOFT DOLLAR BENEFITS**

We receive soft dollar benefits in that certain custodians may make available to us other products and services such as trade execution software, investment research, pricing information, market data, recordkeeping, publications, and conferences in return for effecting transactions through them. Such arrangements will be pursuant to Section 28(e) of the Securities and Exchange Act of 1934 and are available to all of retail and professional clients of the custodians on an unsolicited basis.

### **BROKERAGE FOR CLIENT REFERRALS**

We do not receive client referrals from broker-dealers.

### **DIRECTED BROKERAGE**

Clients will be permitted to select any broker-dealer of their choosing. In these situations, we may be unable to achieve most favorable execution for client transactions. Directing brokerage may cost clients more money in that the client may pay higher brokerage commissions because we may not be able to aggregate orders to reduce transaction costs, or the client may receive less favorable prices.

### **TRADE AGGREGATION**

We attempt to allocate trade executions in the most equitable manner possible, taking into consideration current asset allocation and availability of funds using price averaging, proration and consistently non-arbitrary methods of allocation. We may aggregate orders in order to obtain best execution, to negotiate more favorable commission rates or to allocate equitably among our clients' differences in prices and commission or other transaction costs. In aggregated orders, transactions will be price-averaged and allocated among our clients in proportion to the purchase and sale orders placed for each client account on any given day.

## **ITEM 13** **Review of Accounts**

### **PERIODIC REVIEWS**

Clients will be provided with continuous access to their accounts via our online portal. Through the portal, clients will receive current reporting information about their account status, securities positions, and balances. The Chief Compliance Officer will provide reviews of accounts on a periodic, as needed basis but no less than annually.

### **REVIEW TRIGGERS**

We conduct periodic reviews to evaluate current market, economic and political events and how these may affect client accounts. Additional reviews may be triggered by these events or by events in the client's financial or personal status.

### **REGULAR REPORTS**

Clients utilizing our WealthBuilder Portfolio Series will receive advisory account reports no less than quarterly. These reports show asset value by cash balances, security, unit cost, total cost, current per

share values, etc. Clients are urged to review the quarterly reports provided by us with those provided by their custodian and notify us of any differences. Clients are encouraged to phone or email us as often as they deem necessary to receive information regarding the investment tactics and strategies being followed.

## **ITEM 14** Client Referrals and Other Compensation

We may occasionally pay a referral fee to third party solicitors. However, no fee is paid unless we have a signed and executed solicitor agreement. You must sign a disclosure form that contains the details of the referral agreement. Our fiduciary duties still apply to referral relationships, and we must put the interest of our clients first and see the best execution of securities transactions on behalf of our clients.

## **ITEM 15** Custody

We are deemed to have custody of client funds and securities due to our ability to deduct management fees from clients' accounts. We will not take physical custody of clients' funds and will not assign or transfer trading authorization to another advisor. Clients will receive account statements from the qualified custodian(s) holding their funds and securities at least quarterly. The custodian's account statements will indicate the amount of our advisory fees deducted from the clients' account(s) each billing period. These statements should be carefully reviewed by the client for accuracy. Item 5 – Fees and Compensation has additional information regarding our ability to deduct management fees from clients' accounts.

## **ITEM 16** Investment Discretion

### **DISCRETIONARY AUTHORITY FOR TRADING**

If you are participating in our asset management services, upon receiving your written authorization via our executed investment advisory agreement, we will maintain trading authorization over your designated account and may also implement trades on a discretionary basis.

When discretionary authority is granted, we will have the limited authority to determine the type of securities to be purchased, sold or exchanged and a number of securities that can be bought, sold or exchanged for your portfolio without obtaining your consent for each transaction.

If you do not grant this limited investment discretion, you will be required to implement the investment recommendations recommended by our online portal.

On a case by case basis, you may place reasonable restrictions on the types of investments that may be purchased or sold in your account so long as the restrictions are explicitly set forth or included as an attachment to the investment advisory agreement.

## **ITEM 17** Voting Client Securities

We do not have the authority to vote proxies as it pertains to the issuers of securities held in your account. The responsibility for voting your securities places increased liability to us and does not add enough value to the services provided to you to justify the additional compliance and regulatory costs associated with voting your securities.

Therefore, you are responsible for voting all proxies for securities held in accounts managed by us. Typically, our qualified custodian will forward you your proxy information. Although we do not vote your proxies, you can contact us if you have a question about a particular proxy.

## **ITEM 18** Financial Information

We are not required to include a balance sheet for our most recent fiscal year. We are not subject to a financial condition that is reasonably likely to impair our ability to meet contractual commitments to our clients.

We are currently not in, nor have been historically in a financially precarious situation or the subject of a bankruptcy petition.