

ITEM 1: COVER PAGE
PART 2A APPENDIX 1 OF FORM ADV: WRAP FEE PROGRAM BROCHURE
MARCH 2019



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This brochure provides information about the qualifications and business practices of BluePrint Wealth Alliance, LLC. If you have any questions about the contents of this brochure, please contact us at 800-894-5122 or info@bpwalliance.com. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any State Securities Authority. Additional information about BluePrint Wealth Alliance, LLC is also available on the SEC's website at www.adviserinfo.sec.gov by searching CRD #284167.

Please note that the use of the term "registered investment adviser" and description of our firm and/or our associates as "registered" does not imply a certain level of skill or training. Clients are encouraged to review this Brochure and Brochure Supplements for our firm's associates who advise clients for more information on the qualifications of our firm and our employees.

www.bpwalliance.com

ITEM 2: MATERIAL CHANGES

BluePrint Wealth Alliance, LLC is required to make clients aware of information that has changed since the last annual update to the Firm Brochure ("Brochure") and that may be important to them. Clients can then determine whether to review the brochure in its entirety or to contact us with questions about the changes.

The following is a summary of the material changes made since the brochure dated March 2018:

We have reordering and relocating certain information so that our Brochure more closely follows the preferred "Narrative Format."

Item 4: Services

Further information outlining the ownership of our firm has been added to this Item.

A. Our Wrap Program Services

Further information regarding our asset management Strategies can be found in Item 6.C.

Item 6: Portfolio Manager Selection and Evaluation

We made numerous changes to the information in this section, including relocating certain information that was previously found under Item 4: Services. We have also added information regarding Fund Management, and enhanced the language surrounding our Investment Strategies.

Item 9: Additional Information

B. Other Financial Industry Activities and Affiliations:

Broker-Dealer Registration and Broker-Dealer Affiliations: We have added this information to clearly indicate that "BluePrint Wealth Alliance, LLC nor its representatives are registered as, or have pending applications to become, a broker/dealer or a representative of a broker/dealer."

Registration as Futures Commission Merchant, Commodity Pool Operator, or a Commodity Trading Advisor: We have added this information to clearly indicate "BluePrint Wealth Alliance, LLC nor its representatives are registered as, or have pending applications to become, a futures commission merchant, commodity pool operator, or a commodity trading advisor."

Material Arrangements and Relationships: We have added this information to disclose that certain representatives of our firm offer Tax Advice, Tax Preparation, and/or Accounting Services, and that certain representatives of our firm are insurance agents or insurance brokers.

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ITEM 4: SERVICES, FEES AND COMPENSATION

BluePrint Wealth Alliance, LLC (“BluePrint”, “Firm”, “we”, “us,” or “our firm”) is dedicated to providing individuals, couples, families, trusts, estates, pension and profit-sharing plans, and other types of clients with a wide array of investment advisory and financial planning services. Our firm is a limited liability company formed under the laws of the State of Florida in 2016 and has been in business as an investment adviser since that time. Our firm is wholly owned by BPW Holdings, LLC. Jeffrey Levine and German Ramirez are each 40% owners of BPW Holdings, LLC. Patrick Kuster is a 20% owner of BPW Holdings, LLC.

Our firm provides asset management, financial planning, and investment consulting services for many different types of clients to help meet their financial goals while remaining sensitive to risk tolerance and time horizons. As a fiduciary, it is our duty to always act in the client’s best interest. This is accomplished, in part, by knowing the client. Our firm has established a service-oriented advisory practice with open lines of communication. Investment advisor representatives (“Wealth Managers”) work with clients to understand their investment objectives while educating them about our process, facilitating the kind of working relationship we value.

A. Our Wrap Program Services

Wrap Comprehensive Portfolio Management:

As part of our Wrap Comprehensive Portfolio Management service (“Wrap Service”, or “Wrap Fee Program”) to existing clients we provide asset management and financial planning or consulting services. We no longer offer this program to new clients.

This service is designed to assist clients in meeting their financial goals through the use of a financial plan or consultation by offering individualized investment advice to our Wrap Service clients.

Our firm conducts client meetings to understand their current financial situation, existing resources, financial goals, and tolerance for risk. Based on what is learned, a portfolio is created, consisting of individual stocks, bonds, ETFs, options, mutual funds and other public and private securities or investments and managed in accordance to these objectives. All accounts (“Wrap Fee Accounts”) are managed on an individualized basis according to the client’s investment objectives, financial goals, risk tolerance, etc. Our firm does not manage wrap fee accounts in a different fashion than non-wrap fee accounts.

Once the appropriate portfolio has been determined, portfolios are continuously and regularly monitored, and if necessary, rebalanced based upon the client’s individual needs, stated goals and objectives. Upon client request, our firm provides a summary of observations and recommendations for the planning or consulting aspects of this service.

Compensation for Wrap Comprehensive Portfolio Management Services

Our annual advisory fee for Wrap Services is subject to negotiation, but is generally a flat fee, fixed rate or based on the assets under management accordingly capped at 1.50% annual.

Flat fees and fixed rates are typically similar to an estimate of what a client would pay in the asset-

based fee schedule, although the flat fee or fixed rate may be higher or lower than the asset-based rate depending on the services provided.

Fees to be assessed will be outlined in the advisory agreement to be signed by the client. Annualized fees are billed on a pro-rata basis monthly in arrears based on the value of the account(s) on the time-weighted daily average of the month. Fees are negotiable and will be deducted from client account(s). Adjustments will be made for deposits and withdrawals during the month. In rare cases, our firm will agree to directly invoice. As part of this process, Clients understand the following:

- a) The client's independent custodian sends statements at least quarterly showing the market values for each security included in the Assets and all account disbursements, including the amount of the advisory fees paid to our firm;
- b) Clients will provide authorization permitting our firm to be directly paid by these terms. Our firm will send an invoice directly to the custodian; and
- c) If our firm sends a copy of our invoice to the client, legend urging the comparison of information provided in our statement with those from the qualified custodian will be included.

Our firm may offer a "friends and family" discount to certain Wrap Service clients, at its discretion.

B. Relative Cost

Our Wrap Service allows clients to pay a single fee for investment advisory services and associated custodial transaction costs. Because our firm absorbs client transaction fees, an incentive exists to limit trading activities in client accounts. Custodial transaction costs, however, are not included in the advisory fee charged by our firm for non-wrap services and are to be paid by the client to their chosen custodian. Depending on the client's account or portfolio trading activity, clients may pay more or less for using our wrap fee services than they would for using our non-wrap services.

C. Other Types of Fees & Expenses:

The fees not included in the advisory fee for our Wrap Services are charges imposed directly by a mutual fund, index fund, or exchange traded fund which shall be disclosed in the fund's prospectus (i.e., fund management fees and other fund expenses), mark-ups and mark-downs, spreads paid to market makers, wire transfer fees and other fees and taxes on brokerage accounts and securities transactions.

Either party may terminate the advisory agreement signed with our firm for Wrap Services in writing at any time. Upon notice of termination, pro-rata advisory fees for services rendered to the point of termination will be promptly charged. If advisory fees cannot be deducted, our firm will send an invoice for due advisory fees to the client.

D. Incentive for Participation

Our Wrap Service allows clients to pay a single fee for investment advisory services and associated custodial transaction costs. Because our firm absorbs client transaction fees, our Wrap Service fees may be higher than those of our Wealth Advisory service, and an incentive exists to limit trading activities in Wrap Accounts as this would potentially lead to more firm profit than it otherwise would in a non-wrap service.

ITEM 5: ACCOUNT REQUIREMENTS AND TYPES OF CLIENTS

Our firm has the following types of clients:

- **Individuals:** BluePrint includes trusts, estates, solo 401(k) plans and IRAs of individuals and their family members to the definition of individuals but does not include businesses organized as sole proprietorships;
- **High Net Worth Individuals:** BluePrint uses rule 205-3 of the Advisers Act to define a “qualified client” or “high net worth individual”; and
- **Pension and profit-sharing plans.**

Our firm does not impose requirements for opening and maintaining accounts or otherwise engaging us.

ITEM 6: PORTFOLIO MANAGER SELECTION AND EVALUATION

Our firm does not select, review or recommend other investment advisors or portfolio managers to provide services for its Wrap Service. All management within a client’s account is conducted by BluePrint and its Wealth Managers. For more information about the Wealth Manager managing the account, the client should refer to the Brochure Supplement (Form ADV 2B) for the respective Wealth Manager, which should be received along with this Wrap Service Brochure.

Clients should be aware that the custodian of Client’s account will perform certain administrative services for BluePrint, including generation of quarterly statements for Client accounts, research materials, trading services and other benefits. Please see Item 9. below for additional information.

A. Selection of Portfolio Managers

Our firm’s Wealth Managers act as portfolio manager(s) for the Wrap Service as further described in Item 4 of this Brochure. This could create a conflict of interest in that we are recommending ourselves as the portfolio manager of your assets. To address this conflict of interest, our firm periodically monitors the performance of client portfolios to industry benchmarks, but no third party reviews our performance. This further creates a conflict of interest in that portfolio managers could place their own or our firm’s interests before a client’s interest. Our firm has adopted Code of Ethics and Procedures that requires the Firm’s portfolio managers and other employees of the firm to adhere to their fiduciary duty and avoid activities, interests and relationships that run contrary (or appear to run contrary) to the best interests of clients.

Information about our Wrap Fee services can be found in Item 4 of this brochure. Our firm offers individualized investment advice to our Wrap Service clients. Each Wrap Service client has the opportunity to place reasonable restrictions on the types of investments to be held in the portfolio. Restrictions on investments in certain securities or types of securities may not be possible due to the level of difficulty this would entail in managing the account.

B. Related Persons as Portfolio Managers

Our firm acts as portfolio manager(s) for the Wrap Service as further described above.

C. Supervised Persons as Portfolio Managers

Our firm's Wealth Managers act as portfolio manager(s) for this wrap fee program. A conflict arises in that other investment advisory firms may charge the same or lower fees than our firm for similar services. Our Wealth Managers are subject to individual licensing requirements as imposed by state securities boards. Wealth Manager supervision is conducted by our Chief Compliance Officer or management personnel.

Other Types of Advisory Services Offered

Financial Planning and Consulting:

Our firm provides a variety of standalone Financial Planning and Consulting services to clients for the management of financial resources based upon an analysis of their current situation, goals, and objectives. This Financial Planning or Financial Consulting may encompass, but is not limited to, Investment Planning, Retirement Planning, Estate Planning, Charitable Planning, Education Planning, Tax-Aware Corporate and Personal Planning, Mortgage/Debt Analysis, or Business and Personal Financial Planning.

Financial Planning: For Financial Planning engagements, we typically provide a written summary to the client of their financial situation as well as our observations and recommendations within six (6) months of the client signing a contract with us.

Financial Consulting: For Financial Consulting engagements, we usually do not provide a written summary of our observations and recommendations as the process is less formal than our Financial Planning service. Financial Consulting can be a one-time, ongoing, or as desired engagement.

Clients may but are under no obligation to utilize our firm to implement any financial planning or financial consulting recommendations, and the implementation itself is at the discretion of the client.

Clients have the option to utilize our Financial Planning and Consulting service to provide for the aggregation of asset information with no on-going supervision, trading, or discretion with respect to securities transactions by us. Clients are responsible for placing and executing their own trades, either on their own or with another investment adviser. We provide non-continuous and periodic outside account monitoring.

Wealth Advisory:

Our Wealth Advisory service ("Wealth Advisory") encompasses asset management and assists clients in meeting their financial goals by providing an opportunity for financial planning and financial consulting services to Wealth Advisory clients at our cost.

Our firm conducts at least one client meeting to understand the client's current financial situation, existing resources, financial goals, and tolerance for risk, and constructs an individual investment portfolio tailored to the specific needs and goals of the client. Investment portfolios may include individual stocks, bonds, exchange traded funds ("ETFs"), options, mutual funds and other public and private securities or investments. Portfolios are continuously and regularly monitored, and if necessary, rebalanced based upon the client's individual needs, stated goals and objectives.

Our firm is generally authorized, without prior consultation with clients, to buy, sell, and trade in

stocks, bonds, mutual funds, and other securities and/or contracts, as well as to ability to hire and fire third-party investment advisory firms. This is commonly referred to as having discretionary authority.

Our firm does not manage Wrap fee accounts in a different fashion than non-wrap fee accounts. Client and Adviser will agree upon the scope of the Financial Planning and/or Consulting services to be provided.

Our firm is no longer accepting new clients into our standalone Asset Management service. Legacy clients of BluePrint already receiving services under this agreement may continue to receive such services and therefore certain legacy clients of BluePrint may receive asset management services under an agreement separate from our Wealth Advisory service.

Retirement Plan Consulting:

Our firm provides Retirement Plan Consulting services to employer plan sponsors on an ongoing basis. Generally, such consulting services consist of assisting employer plan sponsors in establishing, monitoring and reviewing their company's participant-directed retirement plan. As the needs of the plan sponsor dictate, areas of advising could include: investment options, plan structure, plan fiduciary training, and participant education.

Retirement Plan Consulting services typically include:

- *Establishing an Investment Policy Statement* – Our firm will assist in the development of a statement that summarizes the investment goals and objectives along with the broad strategies to be employed to meet the objectives.
- *Investment Options* – Our firm will work with the Plan Sponsor to evaluate existing investment options and make recommendations for appropriate changes.
- *Asset Allocation and Portfolio Construction* – Our firm will develop strategic asset allocation models to aid Participants in developing strategies to meet their investment objectives, time horizon, financial situation and tolerance for risk.
- *Investment Monitoring* – Our firm will monitor the performance of the investments and notify the client in the event of over/underperformance and in times of market volatility.

In providing services for retirement plan consulting, our firm does not provide any advisory services with respect to the following types of assets: employer securities, real estate (excluding real estate funds and publicly traded REITS), participant loans, non-publicly traded securities or assets, other illiquid investments, or brokerage window programs not offered by a custodian our firm has a direct custodial relationship with (collectively, “Excluded Assets”).

All retirement plan consulting services shall be in compliance with the applicable state laws regulating retirement consulting services. This applies to client accounts that are retirement or other employee benefit plans (“Plan”) governed by the Employee Retirement Income Security Act of 1974, as amended (“ERISA”). If the client accounts are part of a Plan, and our firm accepts appointment to provide services to such accounts, our firm acknowledges its fiduciary standard within the meaning of Section 3(21) or 3(38) of ERISA as designated by the Retirement Plan Consulting Agreement with respect to the provision of services described therein.

Courtesy Account Services

Our firm may offer, at its discretion, "Courtesy Account" services to clients. Under these arrangements, our firm will perform only limited servicing functions and will provide no investment management or continuous account supervision. Clients have the exclusive responsibility for any purchase/sale, rebalancing, performance and monitoring of all securities within such an account. Our firm is not authorized, without prior consultation with the client, to buy, sell, or trade in stocks, bonds, mutual funds, or other securities and/or contracts relating to the same.

Tax Advisory, Tax Preparation, and Accounting Services

In addition to investment and wealth management services, our firm provides tax advisory, tax preparation ("Tax Preparation"), and accounting services (together, "Tax Services") through certain of its tax-licensed professionals. Such tax and accounting services are rendered only pursuant to a written engagement letter, which is separate from BluePrint's investment advisory and financial planning agreements. Any Tax Services will be provided by BluePrint's professionals in their separate licensed capacities.

Clients are not required to use BluePrint for any Tax Services. BluePrint's fees for Tax Services may be higher or lower than those available from other professional advisers for similar services.

BluePrint does not provide, and no portion of our services should be interpreted as, legal advice.

Performance-Based Fees and Side-By-Side Management

Our firm does not accept performance-based fees or other fees based on a share of capital gains on or capital appreciation of the assets of a client.

Methods of Analysis, Investment Strategies and Risk of Loss

BluePrint's investment methodology includes the belief that investment diversification isn't limited to varying asset classes (such as stocks and bonds). For BluePrint, diversification also includes evaluating different types of investment vehicles (such as individual stocks versus funds), different investment fund management styles (such as actively traded mutual funds versus passive exchange traded funds), and asset allocation holding strategies (such as "passive" or "buy-and-hold" versus "tactical").

We prefer and encourage the use of an Investment Policy Statement ("IPS") with all Wealth Advisory clients. An IPS will:

- Define client investment objectives, broadly defined as Conservative, Moderate-Conservative, Moderate, or Moderate-Aggressive Growth, and Aggressive Growth;
- Document client investment purpose(s);
- Outline client volatility tolerance, investment time horizon, investment guidelines, and liquidity needs;
- Establish any investment restrictions the client may have; and
- Determine the frequency of portfolio rebalancing and portfolio reviews.

Cash, such as bank sweep deposits, money market funds, CDs, government-backed debt

instruments, and high-grade commercial paper, are considered an asset class that BluePrint may use in a client portfolio.

Methods of Analysis

We may employ the following methods of analysis or research reliance in formulating our investment advice and/or managing client assets:

Cyclical Analysis: statistical analysis of specific events occurring at a sufficient number of regular intervals that they can be forecasted into the future. Cyclical analysis asserts that cyclical forces drive price movements in the financial markets. Risks include that cycles may invert or disappear and there is no expectation that this type of analysis will pinpoint turning points, instead be used in conjunction with other methods of analysis.

Charting: Chart pattern analysis can be used to make short-term or long-term forecasts. The data can be on different timeframes including daily, weekly or monthly data. In this type of technical analysis, we review charts of market and security activity in an attempt to identify when the market is moving up or down and to predict when how long the trend may last and when that trend might reverse.

Fundamental analysis considers the economic, financial, and other qualitative/quantitative factors that may impact the price of a security. Fundamental analysis attempts to measure its intrinsic value as compared to its current price. Risks may include using incorrect assumptions, financial misreporting and/or failure by management to disclose key, material events, and unforeseen micro/macroeconomic factors that may cause the price of a security to diverge from its intrinsic value.

Technical analysis attempts to predict future price movements of a security based on historical data, such as price and volume. Technical analysis may involve using charts to identify recurring patterns and trends, but there is no guarantee that those patterns and trends will reoccur.

Quantitative analysis uses statistical models to estimate the impact of user-defined “factors” on a security’s price movement and attempts to extrapolate future movements based on that analysis.

Fund Management:

There are advantages and disadvantages to active and passive fund management styles. Some may argue that passively-managed funds — generally low-cost funds that seek to track indexes such as the S&P 500 or the Russell 200 – are “better” while others may prefer actively-managed funds, where fund managers try to outperform the indexes, but this active management is generally more expensive than passive management.

Passive Investment Management: Passive funds (also known as passive index funds) are designed to replicate a given index in its composition of securities and seek to match the exact performance of the index they track. There is no manager or management team actively picking stocks or making buy and sell decisions, and therefore it should be expected that a passive fund is to experience all the upside and downside of the underlying index (before fund fees).

Active Investment Management: Active funds, in contrast, attempt to beat the index. Active

managers generally follow economic, sector and company research and may use investment strategies such as market timing in their attempt to outperform the index. Actively-management comes at a cost, and therefore these funds are typically more expensive than index funds.

We primarily utilize both active and passive funds (including mutual funds and exchange traded funds) in client portfolios, and may also utilize, but not limited to, equity securities, U.S. government securities, corporate debt securities, municipal debt securities, alternatives (i.e., Real Estate, Commodities or Liquid Alternatives), and options. Cost, among other factors, is a factor we consider in screening and ultimately selecting an active or passive fund.

Investment Strategies We Use

Client portfolios are generally comprised of one or more BluePrint investment strategy ("Strategy"). Strategies vary in their level of risk tolerance, asset or specific asset class allocation, asset allocation style, investment approach, investment allocation style, and investment goals. BluePrint can make investment decisions specific to the Strategy while being able to efficiently evaluate these decisions across applicable client portfolios.

As ingredients, blending Strategies allows for a tailored portfolio providing the risk tolerance, asset allocation, investment allocation style, and diversity appropriate to each client. Further, as separate managed accounts, each client portfolio can be reviewed to evaluate how individual holdings may be within or out of tolerance as compared to its individual Strategy composition, and taxes as well as expenses can be considered prior to implanting any individual portfolio changes.

It is not required for clients to have a Strategy within their portfolio for our firm to provide Wealth Advisory services, however the use of Strategies is encouraged.

Strategy Allocation Styles:

Strategic Allocation Style: Seeks to invest in a diversified portfolio with exposure to publicly traded securities in some or all of the following asset categories: Domestic and Foreign Stocks, Domestic and Foreign Bonds, and Alternatives (i.e., Real Estate, Commodities or Liquid Alternatives). Conservative Strategies may own more bond exposure than equities or alternatives. Moderate Strategies will generally own a reasonably balanced mix of different asset categories. Growth Strategies will generally own more equity exposure than bonds or alternatives. Strategic strategies may focus on current income (Yield) objectives or total return objectives depending on client needs or preference. In general, strategic strategies will tend to stay fully invested during all market cycles (commonly referred to as "buy-and-hold"). Strategic portfolios can be a mix of exchange-traded funds, individual equities or bonds, mutual funds or similar registered products.

Tactical Allocation Style: Seeks a primarily unconstrained approach to investment management and uses various research services and methodologies as the catalysts for making asset decisions.

In market environments viewed positively, these strategies may overweight ownership of growth assets such as stocks or commodities, subject to certain upper limit constraints dependent on the strategies risk objective. *In market environments viewed neutral or negative*, clients may be overweight in defensive asset classes such as fixed income, cash or inverse market exposure independent of selected risk objective, subject to certain lower limit constraints dependent on

the strategies risk objective.

For unconstrained asset class strategies, asset allocation may shift between asset classes, such as Domestic and Foreign Stocks, Domestic and Foreign Bonds, Alternatives (i.e., Real Estate, Commodities including precious metals or Liquid Alternatives), and Cash (Money Markets and cash equivalents), as well as within asset classes. *For constrained asset class or asset class specific strategies*, which are to maintain only certain asset classes, allocation is generally viewed at a more micro level within the asset class, such as a strategy specific to fixed income may target exposure within emerging market bonds, treasury bonds, corporate bonds, high yield bonds, inflation-protected bonds, floating rate notes, first lien senior secured floating rate bank loans, U.S. nonconvertible preferred stock and other preferred securities, U.S. municipal bonds and U.S. convertible securities.

Active or Passive Fund Management with Strategic or Tactical Allocation:

	Strategic Allocation	Tactical Allocation
Passive Fund Management	“Buy-and-hold” asset or specific asset class allocations with passive funds which try to match an index.	Changing asset or asset class allocation ownership into funds which try to match the index.
Active Fund Management	“Buy-and-hold” asset or specific asset class allocations with fund managers whom try to outperform an index.	Changing asset or asset class allocation ownership with fund managers whom try to outperform an index.

Investment Approaches:

We use the following investment approaches in managing client accounts, provided that such approaches are appropriate to the needs of the client and consistent with the client's investment objectives, risk tolerance, and time horizons, among other considerations:

Long-Term Purchases: We may buy securities for your account and hold them for a relatively long time (more than a year) in anticipation that the security's value will appreciate over a long horizon. The risk of this approach is that we could miss out on potential short-term gains that could have been profitable to your account. Moreover, if our predictions are incorrect, it's possible that the security's value may decline sharply before we make a decision to sell.

Short-Term Purchases: We may buy securities for your account and decide to sell them within a relatively short time horizon (less than a year) in order to capitalize on short-term price fluctuations. There's no guarantee, however, that this approach will be able to produce gains.

Trading: We may buy securities for your account and sell them quickly (typically within 30 days) in order to take advantage of short-term price volatility. As with short-term purchases, there is no guarantee that this approach will be able to produce gains.

Short Sales: We may employ a “short” in your account. “Shorting” involves borrowing and selling a security in anticipation of buying it in the future at a lower price to close out the position. The primary risk of shorting a security is that if it increases in value, it could result in a loss, and since the potential price appreciation of a security is theoretically unlimited, shorting can substantially increase the risk of a portfolio.

Margin Transactions: While not typical for clients, and if your account is set up for margin transactions, we may buy on margin for your account. Buying on margin is essentially borrowing money from a broker/custodian to purchase the security. Because using borrowed money amplifies gains and losses, buying on margin can substantially increase the risk of your portfolio. While this type of transaction may occur, it will only be employed for portfolios approved for Margin transactions.

Option writing: While not typical for clients, and if your account is set up and approved for options capabilities with the custodian, we may utilize options to enhance your portfolio returns and/or hedge risk. An option is a contract that gives the buyer the right, but not the obligation to buy or sell a security at a specific price on or before a certain date. We may use “covered call” writing strategies to generate income from selling an option against a security you own. We may also use call or put options to speculate on price movements on the underlying security. So called “naked calls or puts” may substantially increase the risk in your portfolio. This approach will only be used on portfolios clearly indicated for option utilization

Individual Equity Selection:

Seeks to invest in a portfolio of individual stocks as opposed to fund-based investments. Individual equity Strategies may include a focus on the following types of objectives:

Quality – Seeks to invest in well-established, primarily large and mid-cap companies with a focus on fundamental factors deemed as quality, such as defined competitive advantage, good management, consistent and predictable cash flow, and good prospects for continued profitability and growth.

Growth – Seeks to invest in established, primarily large and mid-cap companies, similar to quality above but focused on a higher long-term growth profile. May own above average exposure to sectors such as technology, consumer discretionary, financials and healthcare.

Dividend – Seeks to invest in well-established, primarily large and mid companies, with a higher dividend than the average S&P 500 stock which also illustrate a track record of growing or maintaining the dividend. May own above average exposure to dividend focused areas such as Consumer Staples, Utilities, MLPs and REITS

Trading – Seeks a more a dynamic and active approach to ownership of equities with a timeframe in the weeks to months. Can focus on well-established and lesser known equities with a reasonable expectation for shorter term appreciation. Can also employ a stop loss mandate to help with risk management or profit taking.

Transitioning to Strategies:

As BluePrint utilizes investment research that helps assess potential market risk, which may result in elevated cash or cash equivalent positions for extended periods of time, it is the responsibility of BluePrint’s Wealth Managers to have discussions with the client regarding the timing of investments into BluePrint Strategies. Dependent on client’s preference, or our market outlook, clients can be transitioned to our strategies in a reasonable time (typically within 30 days of asset transfer/deposit) or over a mutually agreed upon transition period.

Risk of Loss

Investing in securities involves risk of loss that clients should be prepared to bear. While the stock market may increase and the account(s) could enjoy a gain, it is also possible that the stock market may decrease, and the account(s) could suffer a loss. It is important that clients understand the risks associated with investing in the stock market, are appropriately diversified in investments, and ask any questions.

The implementations of our Strategies for our clients may obtain different returns than the underlying indices or index benchmarks for several reasons, such as the use of different mutual funds, ETFs or underlying investment products depending on the client's unique situation.

Description of Material, Significant or Unusual Risks

Cash balances will generally be invested using the default custodial bank sweep feature, or invested in money market funds, FDIC Insured Certificates of Deposit (CDs), high-grade commercial paper and/or government-backed debt instruments, to help obtain higher levels of interest through relatively low-risk and conservative investments as operationally feasible. In most cases, at least a partial cash balance will be maintained so that BluePrint may debit advisory fees for our Wealth Advisory services as well as trading or any other administrative costs associated with client account(s). In the event there is an insufficient cash balance in the account to pay ongoing fees and expenses, positions may be liquidated to pay fees and expenses due.

Voting Client Securities

Our firm does not accept the proxy authority to vote client securities. Clients will receive proxies or other solicitations directly from their custodian or a transfer agent. In the event that proxies are sent to our firm, our firm will forward them to the appropriate client and ask the party who sent them to mail them directly to the client in the future. Clients may call, write or email us to discuss questions they may have about particular proxy votes or other solicitations.

Third party money managers selected or recommended by our firm may vote proxies for clients. Therefore, except in the event a third-party money manager votes proxies, clients maintain exclusive responsibility for: (1) directing the manner in which proxies solicited by issuers of securities beneficially owned by the client shall be voted, and (2) making all elections relative to any mergers, acquisitions, tender offers, bankruptcy proceedings or other type events pertaining to the client's investment assets. Therefore (except for proxies that may be voted by a third-party money manager), our firm and/or the client shall instruct the qualified custodian to forward to copies of all proxies and shareholder communications relating to the client's investment assets.

ITEM 7: CLIENT INFORMATION PROVIDED TO PORTFOLIO MANAGER(S)

All accounts are managed by our Wealth Managers. The Wealth Manager selected to manage the client's account(s) or portfolio(s) will be privy to the client's investment goals and objectives, risk tolerance, restrictions placed on the management of the account(s) or portfolio(s) and relevant client notes taken by our firm. Please see our firm's Privacy Policy for more information on how our firm utilizes client information.

ITEM 8: CLIENT CONTACT WITH PORTFOLIO MANAGERS

Any questions or concerns about the management of client portfolios shall be directed to our firm.

ITEM 9: ADDITIONAL INFORMATION

A. Disciplinary Information

There are no legal or disciplinary events that are material to the evaluation of our advisory business or the integrity of our management.

B. Other Financial Industry Activities and Affiliations

Broker-Dealer Registration and Broker-Dealer Affiliations

Neither BluePrint Wealth Alliance LLC nor its representatives are registered as, or have pending applications to become, a broker/dealer or a representative of a broker/dealer.

Registration as Futures Commission Merchant, Commodity Pool Operator, or a Commodity Trading Advisor

Neither BluePrint Wealth Alliance LLC nor its representatives are registered as, or have pending applications to become, a futures commission merchant, commodity pool operator, or a commodity trading advisor.

Material Arrangements and Relationships

Tax Advice, Tax Preparation, and Accounting Services

As described in further detail in Item 6 of this Brochure, in addition to wealth management and financial planning, BluePrint provides Tax Services to its clients. As a result, many of our clients receive such Tax Services from BluePrint's professionals in their separate licensed capacities and under a separate engagement agreement. As a result, BluePrint has the potential to receive two different forms of compensation from a client and has a financial incentive to recommend that clients receive Tax Services from BluePrint.

As further described in more detail in Part 2A of Form ADV ("Firm Brochure"), BluePrint discounts its Tax Preparation fees for certain clients and, offers a greater discount for certain Wealth Advisory clients who meet specified criteria. To the extent that our clients specifically request accounting and/or tax preparation services, generally and where appropriate for a client's needs, we may recommend the Tax Services of BluePrint.

Our recommendation that a client engage BluePrint for Tax Services presents a conflict of interest which clients should be aware of. Some representatives of our firm are Certified Public Accountants. In such capacity, they also provide income tax preparation, tax advice, or accounting services. These

services are independent of our financial planning and consulting, Wealth Advisory, and Retirement Planning and Consulting services and are governed under a separate engagement agreement. A conflict of interest exists as these services create an incentive for these representatives to recommend services based on the compensation they may receive. BluePrint seeks to mitigate this conflict by endeavoring to always act in the best interest of the client and clients are under no obligation to utilize any separate tax preparation, tax advice, or accounting services. Generally, clients should know the same services are available from other firms and may be offered at a lower cost.

Insurance Agents or Brokers

Some representatives of the firm share common ownership interest in or are insurance agents of BluePrint Risk Management LLC. From time to time, in their separate licensed capacities, they may offer clients advice or products from those activities and clients should be aware that these services may involve a conflict of interest. BluePrint seeks to mitigate this conflict by endeavoring to always act in the best interest of the client and clients are under no obligation to utilize the services of any representative in such individual's outside capacities.

Independent of BluePrint Risk Management LLC, some representatives of our firm are insurance agents or insurance brokers. They offer insurance products and may, in their separate licensed capacities, receive customary commissions as a result of insurance sales. A conflict of interest exists as these insurance sales creates an incentive to recommend products based on the compensation adviser and/or our supervised persons may earn. BluePrint seeks to mitigate this conflict by endeavoring to always act in the best interest of the client and clients are under no obligation to purchase insurance through our representatives.

C. Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

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.

Code of Ethics:

Our fiduciary duty is the underlying principle for our firm's Code of Ethics, which includes procedures for personal securities transaction and insider trading. Our firm requires all representatives 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 with our firm, and at least annually thereafter, all representatives of our firm will acknowledge receipt, understanding and compliance with our firm's Code of Ethics. Our firm and representatives must conduct business in an honest, ethical, and fair manner and avoid all circumstances that might negatively affect or appear to affect our duty of complete loyalty to all clients. This disclosure is provided to give all clients a summary of our Code of Ethics. If a client or a potential client wishes to review our Code of Ethics in its entirety, a copy will be provided promptly upon request.

Our firm recognizes that the personal investment transactions of our representatives demands the application of a Code of Ethics with high standards and requires that all such transactions be carried out in a way that does not endanger the interest of any client. At the same time, our firm also believes that if investment goals are similar for clients and for our representatives, it is logical, and even desirable, that there be common ownership of some securities.

In order to prevent conflicts of interest, our firm has established procedures for transactions effected by our representatives for their personal accounts. To monitor compliance with our personal trading policy, our firm requests quarterly securities and holdings transaction reports for all of our supervised persons.

Securities of Material Financial Interest

Neither our firm nor a related person recommends, buys or sells for client accounts, securities in which our firm or a related person has a material financial interest without prior disclosure to the client.

Securities of Clients and of Related Persons

Related persons of our firm may buy or sell securities and other investments that are also recommended to clients. To minimize this conflict of interest, our related persons will place client interests ahead of their own interests and adhere to our firm's Code of Ethics, a copy of which is available upon request.

Client and Related Persons Securities Transactions

Likewise, related persons of our firm buy or sell securities for themselves at or about the same time they buy or sell the same securities for client accounts. To minimize this conflict of interest, our related persons will place client interests ahead of their own interests and adhere to our firm's Code of Ethics, a copy of which is available upon request. Further, our related persons will refrain from buying or selling the same securities prior to buying or selling for our clients in the same day unless included in a block trade or executed at the end of the day.

D. Client Referrals and Other Compensation

Other Economic Benefits to Our Firm

TD Ameritrade

As disclosed above, our firm participates in TD Ameritrade's institutional customer program and we may recommend TD Ameritrade to Clients for custody and brokerage services. There is no direct link between our participation in the program and the investment advice we give our Clients, although our firm receives economic benefits through our participation in the program that are typically not available to TD Ameritrade retail investors. These benefits include the following products and services (provided without cost or at a discount): receipt of duplicate Client statements and confirmations; research related products and tools; consulting services; access to a trading desk serving our participants; access to block trading (which provides the ability to aggregate securities transactions for execution and then allocate the appropriate shares to Client accounts); the ability to have advisory fees deducted directly from Client accounts; access to an electronic communications network for Client order entry and account information; access to mutual funds with no transaction fees and to certain institutional money managers; and discounts on compliance, marketing, research, technology, and practice management products or services provided to our firm by third party vendors. TD Ameritrade may also have paid for business consulting and professional services received by our firm's related persons. Some of the products and services made available by TD Ameritrade through the program may benefit our firm but may not benefit our Client accounts. These products or services may assist us in managing and administering Client accounts, including accounts not maintained at TD Ameritrade. Other services made available by TD Ameritrade are intended to help us manage and further develop our business enterprise. The benefits received by our firm or our personnel through participation in the program do not depend on the amount of brokerage transactions directed to TD Ameritrade. As

part of our fiduciary duty to clients, we endeavor at all times to put the interests of our clients first. Clients should be aware, however, that the receipt of economic benefits by our firm or our related persons in and of itself creates a potential conflict of interest and may indirectly influence our choice of TD Ameritrade for custody and brokerage services.

Charles Schwab & Co., Inc.

Services that Benefit Clients

Schwab's institutional brokerage services include access to a broad range of investment products, execution of securities transactions, and custody of client assets. The investment products available through Schwab include some to which our firm might not otherwise have access to or that would require a significantly higher minimum initial investment by our clients. Schwab's services described in this paragraph generally benefit clients or their account(s).

Services that May Not Directly Benefit Clients

Schwab also makes available other products and services that benefit our firm but may not directly benefit clients or their accounts. These products and services assist in managing and administering our client accounts. They include investment research, both Schwab's and that of third parties. This research may be used to service all or some substantial number of client accounts, including accounts not maintained at Schwab. In addition to investment research, Schwab also makes available software and other technology that:

- provides access to client account data (such as duplicate trade confirmations and account statements);
- facilitates trade execution and allocate aggregated trade orders for multiple client accounts;
- provides pricing and other market data;
- facilitates payment of our fees from our clients' accounts; and
- assists with back-office functions, recordkeeping and client reporting.

Services that Generally Benefit Only Our Firm

Schwab also offers other services intended to help manage and further develop our business enterprise. These services include:

- educational conferences and events
- technology, compliance, legal, and business consulting;
- publications and conferences on practice management and business succession; and
- access to employee benefits providers, human capital consultants and insurance providers.

Schwab may provide some of these services itself. In other cases, Schwab will arrange for third-party vendors to provide the services to our firm. Schwab may also discount or waive fees for some of these services or pay all or a part of a third party's fees. Schwab may also provide our firm with other benefits, such as occasional business entertainment for our personnel.

Irrespective of direct or indirect benefits to our client through Schwab, our firm strives to enhance the client experience, help clients reach their goals and put client interests before that of our firm or associated persons.

Compensation for Referral Fees

Our firm does not currently pay referral fees (non-commission based) to independent solicitors (non-registered representatives) for the referral of their clients to our firm.

Certain representatives of our firm may speak or appear in public settings, including live seminars and educational courses which may result in the acquisition of new or potential advisory relationships. We do not pay a referral fee to any such sponsor.

E. Financial Information

Our firm is not required to provide financial information in this Brochure because:

- Our firm does not require the prepayment of more than \$1,200 in fees when services cannot be rendered within 6 months;
- Our firm does not take custody of client funds or securities; and
- Our firm does not have a financial condition or commitment that impairs our ability to meet contractual and fiduciary obligations to clients.

Our firm has never been the subject of a bankruptcy proceeding.