

Legacy Investment Partners, LLC

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legacyip.com

Managed Accounts Program

Wrap Fee Disclosure Brochure

February 9, 2024

This wrap fee program brochure provides information about the qualifications and business practices of Legacy Investment Partners, LLC. If you have any questions about the contents of this brochure, please contact us at 913.696.1550. 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.

Legacy Investment Partners, LLC is a registered investment adviser. Registration of an investment adviser does not imply any level of skill or training. The oral and written communications of an adviser provide you with information about which you determine to hire or retain an adviser.

Additional information about Legacy Investment Partners, LLC also is available on the SEC's website at www.adviserinfo.sec.gov. Our CRD Number is 133014.

Material Changes

Legacy Investment Partners, LLC (“Legacy Investment, we, us, our, ours”) provides its disclosure brochure (“brochure”) to you initially when you enter into an advisory agreement with us. We offer or deliver an updated brochure to you annually. No later than April 29 each year, we will provide a summary of material changes that have been made to our brochure since its last annual update.

We may also provide updated disclosure information about material changes on a more frequent basis. Any summaries of changes will include the date of our last annual update of our brochure.

Since filing our last annual amendment update in January 2023, we have made no material changes to this brochure.

Our current brochure can be requested by contacting David Baker, Managing Member and Chief Compliance Officer, at 913.696.1550. We will provide you with a brochure at any time without charge.

Our brochure and other information about us and about persons affiliated with us who are registered as our investment adviser representatives (“your advisory representative”) is also available via the SEC’s website, at www.adviserinfo.sec.gov.

Information regarding your advisory representative can also be found in the supplement to this brochure.

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Services, Fees and Compensation

We act as portfolio managers for the Managed Accounts Program. We work with you to identify your investment goals and objectives as well as risk tolerance in order to create an initial portfolio allocation designed to complement your financial situation and personal circumstances. Accounts will be managed based on your individual needs.

We will periodically review and update your financial circumstances and investment objectives; however, it is your responsibility to notify us of any material changes to your financial situation.

Product recommendations under this platform may include but are not limited to, equities, corporate debt securities, municipals bonds, mutual funds, government securities, and options. We directly manage and diversify your portfolio based upon your individual investment needs and objectives. Restrictions and guidelines that you impose effect the composition and performance of portfolios. For this reason, performance of portfolios within the same investment objective may differ.

Clients involved in the Managed Accounts Program will have their transactions costs bundled with the advisory fee. Securities and funds are selected with the aid of fundamental analysis and the review of independent research, news sources, corporate documents such as annual and quarterly reports and press releases and rating services.

You have the opportunity to place reasonable restrictions on the type of investments to be held in your portfolio. We will periodically review and update your financial circumstances and investment objectives. You should notify us promptly if there are any changes in your financial situation or investment objectives.

We offer our Managed Account Program on a wrap-fee basis only. Wrap fee structures allow you to pay an all-inclusive fee which includes:

- investment management fees shared by our firm, our advisory representatives, and, in some instances, the broker dealer of advisory representatives who are also registered as representatives of the broker-dealer;
- execution and clearing costs;
- transaction costs – if applicable – which may be paid to purchase and sell securities in your account; and
- custody fees.

Below is the schedule of fees charged by Legacy Investment in connection with the Managed Account Program. The fee charged is not charged on the basis of a share of capital gains upon or capital appreciation of the funds or any portion of the funds of an advisory client.

| <u>Assets under Management</u> | <u>Annual Fee</u> |
|--------------------------------|-------------------|
| Up to \$3,000,000 | 1.50% |
| Over \$3,000,000 | Negotiable |

All fees are negotiable at our sole discretion.

The asset-based fee is calculated on the value of the account on the last day of the calendar month or quarter. Advisory fees are payable in advance or in arrears and determined at the time the advisory agreement is signed. The fee is based upon the value of the account as calculated by the custodian. Fees for the initial billing period will be adjusted pro-rata based upon the number of calendar days in the billing period that the adviser agreement goes into effect. For any deposits or withdrawal of funds or securities (in excess of 10% of the value of an account) within a billing period, Advisor will prorate the fee due at the end of the billing period based on the number of days the assets were in the advisory account.

Legacy Investment has the right to change any or all of its fee schedules with 30 days written notice.

A client agreement may be canceled by either party for any reason upon receipt of 30 days written notice. Upon termination of an account, any prepaid, unearned fees will be refunded. Any earned unpaid fees will be due and payable. The client has the right to terminate an agreement within five business days after entering into it without owing Legacy Investment any fees.

As authorized in the Client Agreement, the account custodian withdraws advisory fees directly from the client's account according to the custodian's policies, practices and procedures. The custodian sends the client a statement, at least quarterly, indicating all the amounts disbursed from the account, including the amount of advisory fees. It is client's responsibility, not the custodian's, to verify the accuracy of the billing amount. Advisor does not hold customer funds or securities. Legacy Investment will not have the authority to withdraw funds or take custody of client funds or securities other than where the client has authorized the deduction of investment advisory fees

via a qualified custodian or has authorized Legacy Investment to move money from a client's account to a third-party account per a standing letter of authorization (SLOA).

You should note that the same (or similar) services as those described above may be available from other sources at a lower cost to you. You should consider that depending upon the level of the wrap fee charges, the amount of portfolio activity in your account, the value of services that are provided, and other factors, a wrap fee may exceed the aggregate cost of services if they were to be provided separately. A non-wrapped pricing arrangement may be more cost effective for accounts that do not experience frequent trading activity.

The wrap fee does not include mark-ups, markdowns, or payment of brokerage commissions for transactions made by a broker-dealer other than the custodian.

Client Responsibility for Third-Party Fees

In addition to our fee, you will be required to pay other charges such as:

- custodial fees;
- SEC fees;
- internal fees and expenses charged by mutual funds or exchange traded funds ("ETFs");
- maintenance and termination fees associated with IRAs and certain retirement and qualified accounts; and
- other fees and taxes on brokerage accounts and securities transactions.

Mutual fund companies, ETFs, and variable annuity issuers charge internal fees and expenses for their products. These fees and expenses are in addition to any advisory fees charged by us. Complete details of these internal fees and expenses are explained in the prospectuses for each investment. You are strongly encouraged to read these explanations before investing any money. You may ask us any questions you have about fees and expenses.

While you can purchase shares of mutual funds directly from the mutual fund company without a transaction fee, those investments would not be part of our advisory relationship with you. This means that they would not be included in our investment strategies, investment performance monitoring, or portfolio reallocations.

The custodian of the account holds all customer assets. Legacy Investment does not hold customer funds or securities.

Advisory representatives may recommend our wrap program to you and, as a result of your participation in this program, will receive a portion of the fee charged by us. These payments may be made as long as you participate in the program and may be greater than other forms of compensation had you paid separately for investment advice, brokerage and other services provided to you as part of a wrap fee program. As a result, our advisory representatives have a financial incentive to recommend this program over other programs or services that may be available to you.

Retirement Plan Rollover Recommendations

When we provide investment advice about your retirement plan account or individual retirement account (“IRA”) including whether to maintain investments and/or proceeds in the retirement plan account, roll over such investment/proceeds from the retirement plan account to a IRA or make a distribution from the retirement plan account, we acknowledge that Legacy Investment Partners, LLC is a “**fiduciary**” within the meaning of Title I of the Employee Retirement Income Security Act (“ERISA”) and/or the Internal Revenue Code (“IRC”) as applicable, which are laws governing retirement accounts. The way Legacy Investment Partners, LLC makes money creates conflicts with your interests so Legacy Investment Partners, LLC operates under a special rule that requires Legacy Investment Partners, LLC to act in your best interest and not put our interest ahead of you.

- Under this special rule’s provisions, Legacy Investment Partners, LLC must as a fiduciary to a retirement plan account or IRA under ERISA/IRC:
 - Meet a professional standard of care when making investment recommendations (e.g., give prudent advice);
 - Never put the financial interests of Legacy Investment Partners, LLC ahead of you when making recommendations (e.g., give loyal advice);
 - Avoid misleading statements about conflicts of interest, fees, and investments;
 - Follow policies and procedures designed to ensure that Legacy Investment Partners, LLC gives advice that is in your best interest;
 - Charge no more than is reasonable for the services of Legacy Investment Partners, LLC; and
 - Give Client basic information about conflicts of interest.
- To the extent we recommend you roll over your account from a current retirement plan account to an individual retirement account managed by Legacy Investment Partners, LLC, please know that Legacy Investment Partners, LLC and our investment adviser representatives] have a conflict of interest.

- We can earn increased investment advisory fees by recommending that you roll over your account at the retirement plan to an IRA managed by Legacy Investment Partners, LLC. We will earn fewer investment advisory fees if you do not roll over the funds in the retirement plan to an IRA managed by Legacy Investment Partners, LLC.
- Thus, our investment adviser representatives have an economic incentive to recommend a rollover of funds from a retirement plan to an IRA which is a conflict of interest because our recommendation that you open an IRA account to be managed by our firm can be based on our economic incentive and not based exclusively on whether or not moving the IRA to our management program is in your overall best interest.
- We have taken steps to manage this conflict of interest. We have adopted an impartial conduct standard whereby our investment adviser representatives will (i) provide investment advice to a retirement plan participant regarding a rollover of funds from the retirement plan in accordance with the fiduciary status described below, (ii) not recommend investments which result in Legacy Investment Partners, LLC receiving unreasonable compensation related to the rollover of funds from the retirement plan to an IRA, and (iii) fully disclose compensation received by Legacy Investment Partners, LLC and our supervised persons and any material conflicts of interest related to recommending the rollover of funds from the retirement plan to an IRA and refrain from making any materially misleading statements regarding such rollover.
- When providing advice to you regarding a retirement plan account or IRA, our investment advisor representatives will act with the care, skill, prudence, and diligence under the circumstances then prevailing that a prudent person acting in a like capacity and familiar with such matters would use in the conduct of an enterprise of a like character and with like aims, based on the investment objectives, risk, tolerance, financial circumstances, and a client's needs, without regard to the financial or other interests of Legacy Investment Partners, LLC or our affiliated personnel.

Account Requirements and Types of Clients

As a condition for starting and maintaining an advisory relationship, we generally require a minimum portfolio size of \$25,000. We, at our sole discretion, may accept

clients with smaller portfolios based upon certain factors including:

- anticipated future earning capacity,
- anticipated future additional assets,
- account composition,
- related accounts, and
- pre-existing client relationships.

We may consider the portfolios of your family members to determine if your portfolio meets the minimum size requirement.

We provide advisory services primarily to high net worth individuals, including their trusts, estates and retirement accounts. We also provide services to corporations or business entities including their pension and profit sharing plans.

Portfolio Manager Selection and Evaluation

Your Advisory Representative is the portfolio manager available with respect to the Program. Please refer to your Advisor's Supplement to this Brochure for information about his or her business education, business experience, and disciplinary information. You can also find information about your Advisor at www.adviserinfo.sec.gov.

Advisory Business

Investment Supervisory Services

We provide investment advice in the form of investment supervisory services, on a discretionary or nondiscretionary basis. We actively manage accounts with a thorough allocation of assets. We monitor this allocation based on suitability, and actively reallocate the investments based on suitability and changes in the underlying investments.

We place your assets in mutual funds, stocks, bonds and option strategies. You may be placed on margin according to your authorization. The mutual funds are no load or available at net asset value.

Financial Planning

We render financial planning services. We determine with you the nature and extent of the financial planning services at the time you enter into an agreement with us.

You retain the actual responsibility and authority to implement recommendations in the financial plan we present. We may assist in the implementation at your request. You may also receive financial planning services as part of our investment supervisory services at no additional charge.

In managing your investment portfolio, we consider your

- financial situation,
- risk tolerance,
- investment horizon,
- liquidity needs,
- tax considerations,
- investment objectives, and
- any other issues important to your state of affairs.

You should notify us promptly if there are any changes in your financial situation or investment objectives or if you wish to impose any reasonable restrictions upon the management of your account.

Pension Consulting Services

We offer the following services related to 401k plans:

- Plan needs assessment
- Advice in selection of a 401K Provider
- Plan Participant enrollment and ongoing education
- Investment options and ongoing monitoring
- Conducting reviews and meeting with Trustees and Plan Sponsors

The Managed Accounts Program

The Managed Accounts Program is a wrap fee program. The fee you pay in this program covers our advisory fee and all brokerage commissions and other trading costs of transactions placed through the program. We do not manage wrap fee accounts differently than we manage non-wrapped accounts. We receive a portion of the wrap fee for our services.

Assets Under Management

As of December 29, 2023, we managed approximately \$267,749,307 in client assets on a discretionary basis, where we made all of the investment decisions and

approximately \$8,837,041 in client assets were managed on a non-discretionary basis for a total of \$276,586,348 in assets under management.

Performance-Based Fees

We do not charge performance-based fees on any of our client accounts. Performance-based fees are designed to give a portion of the returns of an investment to the investment adviser as a reward for positive performance. The fee is generally a percentage of the profits made on the investments.

Methods of Analysis, Investment Strategies and Risk of Loss

We select specific investments for your portfolios through the use of fundamental analysis.

Fundamental analysis is a method of evaluating a company that has issued a security by attempting to measure the value of its underlying assets. It entails studying overall economic and industry conditions as well as the financial condition and the quality of the company's management. Earnings, expenses, assets, and liabilities are all important in determining the value of a company. The value is then compared to the current price of the issuing company's security to determine whether to purchase, sell or hold the security.

Cyclical analysis is a form of fundamental analysis that involves the process of making investment decisions based on the different stages of an industry at a given point in time.

Charting involves identifying patterns that can suggest future activity in price movements. A chart pattern is a distinct formation on a stock chart that creates a trading signal or a sign of future price movements. Chartists use these patterns to identify current trends and trend reversals to trigger buy and sell signals. Some of the chart types are Line Charts, Bar Charts, Candlestick, Point and Figure, etc.

Technical analysis is a method of evaluating securities by analyzing statistics generated by market activity, such as past prices and volume. Technical analysts do not attempt to measure a security's intrinsic value, but instead use charts and other tools to identify patterns that can suggest future activity.

Our investment strategies may include long-term and short-term purchases and sales, trading, and the use of options, and margin. You can place reasonable restrictions on

the strategies to be employed in your portfolio and the types of investments to be held in your portfolio.

Although we manage your portfolio in a manner consistent with your risk tolerances, we cannot guarantee that our efforts will be successful. General economic conditions, current interest rates, the performance of a particular industry or a particular company, and any number of other factors can affect investment performance.

You should be prepared to bear the risk of loss. All investments are subject to loss, including (among other things) loss of principal, a reduction in earnings (including interest, dividends and other distributions), and the loss of future earnings.

You must also be aware that the use of margin and options are higher risk strategies. It is possible to lose all of the principal you invest, and sometimes more. In a cash account, your risk is limited to the amount of money that you have invested. In a margin account, your risk includes the amount of money invested plus the amount that has been loaned to you.

Voting Client Securities

We do not take any action or give any advice with respect to voting of proxies solicited by or with respect to the issuers of securities in which your accounts may be invested. In addition, we do not take any action or give any advice with respect to any securities held in any accounts that are named in or subject to class action lawsuits. We will, however, forward to you any information received by us regarding proxies and class action legal matters involving any securities held in your accounts.

Client Information Provided to Portfolio Managers

We work with you to identify your investment goals and objectives as well as risk tolerance in order to create an initial portfolio allocation designed to complement your financial situation and personal circumstances. We obtain this information from you through personal interviews, account opening documents, your investment guidelines, and reports relating to the performance of your account. We will update this information annually and as you inform us of any changes.

Your privacy is important to us. We protect your information in accordance with our Privacy Policy which has been provided to you.

Client Contact with Portfolio Managers

You have ready access to your advisory representative/portfolio manager. Advisory representatives are not required to be available for unscheduled or unannounced visits or calls by clients. However, advisory representatives are expected to periodically meet with clients and should generally be available to take client telephone calls on advisory-related matters.

Additional Information

Disciplinary Information

We have not been the subject of any legal or disciplinary events that would be material to your evaluation of our business or the integrity of our management.

Other Financial Industry Activities and Affiliations

Our advisory representatives are also licensed with various insurance companies. Commissions will be earned by our financial advisors if insurance products are purchased through these insurance companies.

Please be aware we are paid commissions as compensation when we sell insurance products. Commission payments create a conflict of interest if advisors make recommendations based upon the amount of their compensation rather than the need of the client. The Advisors at Legacy Investment Partners LLC have a duty at all times to place your needs ahead of theirs and avoid or mitigate conflicts of interest. We will explain the specific costs associated with any recommended investments with you upon request.

Code of Ethics; Participation or Interest in Client Transactions and Personal Trading

We have adopted a *Code of Ethics* (“Code”) to address the securities-related conduct of our advisory representatives and employees. An Investment Adviser is considered a fiduciary. As a fiduciary, it is our 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. Our fiduciary duty is the core underlying principal for our Code of Ethics.

The *Code* includes our policies and procedures developed to protect your interests in relation to the following:

- the duty at all times to place your interests ahead of ours;
- that all personal securities transactions of our advisory representatives and employees be conducted in a manner consistent with the *Code* and avoid or mitigate conflicts of interest, or any abuse of an advisory representative's or employee's position of trust and responsibility;
- that advisory representatives may not take inappropriate advantage of their positions;
- that information concerning the identity of your security holdings and financial circumstances are confidential; and
- that independence in the investment decision-making process is paramount.

We will provide a copy of the *Code* to you or any prospective client upon request.

We do not buy or sell securities for our firm that we also recommend to clients. Our advisory representatives and employees are permitted to buy or sell the same securities for their personal and family accounts that are bought or sold for your account(s). The personal securities transactions by advisory representatives and employees raise conflicts of interest when they trade in a security that is:

- owned by you or
- considered for purchase or sale for you.

We have adopted policies and procedures that are intended to address these conflicts of interest. These policies and procedures:

- require our advisory representatives and employees to act in your best interest,
- prohibit favoring one client over another, and

Advisory representatives and employees must follow our procedures when purchasing or selling the same securities purchased or sold for you.

Review of Accounts

Managed Account Program client assets will be reviewed on an ongoing basis. Individual accounts are analyzed on at least a quarterly basis.

Financial planning clients will receive those reviews and reports for which they contract Legacy Investment to prepare.

We will conduct client meetings at least annually. These reviews include an assessment of the program.

More frequent reviews can be triggered by such variables as market and economic conditions, political circumstances and your individual needs and goals.

All reviews will be performed by the investment advisory representative responsible for the individual account.

You will receive statements from the custodian/broker-dealer at least quarterly. These statements identify your current investment holdings, the cost of each of those investments, and their current market values.

Client Referrals and Other Compensation

We may enter into various written compensation agreements with certain unaffiliated parties, referred to as a Solicitation Agreement. We will pay these parties a percentage of the fee paid by referred clients. These payments are a portion of the fee charged by Legacy Investment and do not result in an increase in the amount of the fee paid by clients. Any solicitation or referral arrangements will comply with applicable laws that govern:

- the nature of the service,
- fees to be paid,
- disclosures to clients and
- any necessary client consents.

Additionally, we receive certain economic benefits as a result of our participation in the institutional brokerage programs of Fidelity Brokerage Services, LLC (“Fidelity”) and Schwab Advisor Services division of Charles Schwab & Co., Inc. (“Schwab”). These benefits include products and services that assist us in managing and administering client accounts, including access to investments generally available to institutional investors, software, technology, and research. The availability of the custodians’ products and services is based solely on our participation in their programs, and not on the provision of any particular investment advice.

We generally recommend that the broker-dealer/custodian for your Wrap Fee Program account be either Charles Schwab and Company, Inc. (“Schwab”) or Fidelity Brokerage Services, LLC (“Fidelity”). We are independently owned and operated and not affiliated with Schwab or Fidelity. We do not enter into soft dollar arrangements

with any custodian. The benefits we received are more fully described in our Part 2A Disclosure Brochure in the section entitled “Brokerage Practices”.

Financial Information

We have no financial commitment that impairs our ability to meet contractual and fiduciary commitments to you and we have not been the subject of a bankruptcy proceeding.

David Lawrence Baker
Legacy Investment Partners, LLC
6240 West 135th Street, Suite 175
Overland Park, KS 66223

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Brochure Supplement

February 9, 2024

This brochure supplement provides information about David Lawrence Baker that supplements the Legacy Investment Partners, LLC brochure. You should have received a copy of that brochure. Please contact David L. Baker, Managing Member and Chief Compliance Officer, if you did not receive Legacy Investment Partners, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about David Lawrence Baker is available on the SEC's website at www.adviserinfo.sec.gov.

Educational Background and Business Experience

David Lawrence Baker

Year of birth: 1970

Formal education:

- University of Kansas – 1994
- University of Madrid – 1993
- University of Guadalajara – 1990 University of Arizona, Tucson – 1989 to 1993

Business background:

- Legacy Investment Partners, LLC, Chief Compliance Officer, (01/23 – Present)
- Legacy Investment Partners, LLC, Managing Member, (10/04 – Present)
- Legacy Investment Management, LLC, Managing Member, (08/07 – 12/08)
- Purshe Kaplan Sterling Investments, Registered Representative, (12/04 – 04/06)
- Cambridge Investment Research, Inc., Registered Representative, (10/04 – 12/04)
- Wachovia Securities, Inc., Senior Vice President Investment Officer (06/02 – 10/04)
- First Union Securities, Senior Vice President Investment Officer (07/00 – 06/02)
- George K. Baum & Co., Registered Representative, (10/97 – 07/00)

Disciplinary Information

David Lawrence Baker has not been the subject of any legal or disciplinary event.

Other Business Activities

Our advisory representatives are also licensed with various insurance companies. Commissions will be earned by our financial advisors if insurance products are purchased through these insurance companies.

Please be aware we are paid commissions as compensation when we sell insurance products. Commission payments create a conflict of interest if advisors make recommendations based upon the amount of their compensation rather than the need of the client. The Advisors at Legacy Investment Partners LLC have a duty at all times to place your needs ahead of theirs and avoid or mitigate conflicts of interest. We will explain the specific costs associated with any recommended investments with you upon request.

Additional Compensation

Mr. Baker does not receive any additional compensation other than the compensation disclosed in Item 4 of this brochure supplement.

Supervision

Mr. Baker is the Managing Member and Chief Compliance Officer. Mr. Baker can be reached at 913.696.1550.

Mr. Baker will adhere to our processes and procedures as described in our firm's Code of Ethics. Legacy Investment Partners will monitor the advice given to you by performing the following reviews:

- A review of relevant account opening documentation when the relationship is established
- A daily review of account transactions,
- Review custodial information on a quarterly basis to assess account activity,
- Perform annual oversight of your current financial situation, objectives, and individual investment needs
- A review of client correspondence on an as needed basis.

Brenda Elizabeth Black, CRPC®,
Legacy Investment Partners, LLC
6240 West 135th Street, Suite 175
Overland Park, KS 66223

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Brochure Supplement
February 9, 2024

This brochure supplement provides information about Brenda Elizabeth Black that supplements the Legacy Investment Partners, LLC brochure. You should have received a copy of that brochure. Please contact David L. Baker, Managing Member and Chief Compliance Officer, if you did not receive Legacy Investment Partners, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Brenda Elizabeth Black is available on the SEC's website at www.adviserinfo.sec.gov.

Educational Background and Business Experience

Brenda Elizabeth Black, CRPC®

Year of birth: 1958

Formal education:

- Kansas State University – 1980; B.S.
- College for Financial Planning – 2010; Chartered Retirement Planning Counselor

Business background:

- Legacy Investment Partners, LLC, Advisory Representative, (10/04 – Present)
- Legacy Investment Partners, LLC, Member, (10/04 – Present)
- Legacy Investment Partners, LLC, Managing Member and Chief Compliance Officer, (10/04 – 12/22)
- Legacy Investment Management, LLC, Managing Member, (08/07 – 12/08)
- Purshe Kaplan Sterling Investments, Registered Representative, (12/04 – 04/06)
- Cambridge Investment Research, Inc., Registered Representative, (10/04 – 12/04)
- First National Bank of Kansas, Financial Advisor (08/03 – 03/04)
- Primevest Financial Services, Inc., Registered Representative, (08/03 – 03/04)
- Wachovia Securities, Inc., Operations Manager, (06/02 – 08/03)
- First Union Securities, Inc., Operations Manager, (04/00 – 06/02)
- Merrill Lynch, Pierce, Fenner & Smith, Inc., Financial Consultant, (10/99 – 04/00)

Professional Designations

Chartered Retirement Planning CounselorSM or 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.

Disciplinary Information

Brenda Elizabeth Black has not been the subject of any legal or disciplinary event.

Other Business Activities

Our advisory representatives are insurance agents and licensed with various insurance companies. Commissions will be earned by our financial advisors if insurance products are purchased through these insurance companies.

Please be aware we are paid commissions as compensation when we sell insurance products. Commission payments create a conflict of interest if advisors make recommendations based upon the amount of their compensation rather than the need of the client. The Advisors at Legacy Investment Partners LLC have a duty at all times to place your needs ahead of theirs and avoid any conflict of interest. We will explain the specific costs associated with any recommended investments with you upon request.

Additional Compensation

Brenda Elizabeth Black does not receive any additional compensation other than the compensation disclosed in Item 4 of this brochure supplement.

Supervision

Ms. Black is supervised by David Baker, Managing Member and Chief Compliance Officer. Mr. Baker can be reached at 913.696.1550.

We supervise Ms. Black by requiring that she adhere to our processes and procedures as described in our firm's Code of Ethics. We will monitor the advice that Ms. Black gives to you by performing the following reviews:

- A review of relevant account opening documentation when the relationship is established
- A daily review of account transactions,
- Review custodial information on a quarterly basis to assess account activity,
- Perform annual oversight so that Ms. Black is aware of your current financial situation, objectives, and individual investment needs
- A review of client correspondence on an as needed basis.

David William Goeglein, CFA
Legacy Investment Partners, LLC

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Brochure Supplement

February 9, 2024

This brochure supplement provides information about David William Goeglein that supplements the Legacy Investment Partners, LLC brochure. You should have received a copy of that brochure. Please contact David L. Baker, Managing Member and Chief Compliance Officer, if you did not receive Legacy Investment Partners, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about David William Goeglein is available on the SEC's website at www.adviserinfo.sec.gov.

Educational Background and Business Experience

David William Goeglein

Year of birth: 1987

Formal education:

- Concordia University – 2010; B.S., Accounting and Business Administration

Business background:

- Legacy Investment Partners, LLC, Advisory Representative, (06/10 –Present)
- Concordia University; Economics Tutor (2008 – 2010)
- Legacy Investment Partners, LLC, Intern (05/08 – 06/10)
- Blue Hills Country Club; Bag Staff (2002 – 2007)

Professional Designations

Chartered Financial Analyst

The Chartered Financial Analyst (CFA) designation, or CFA charter, has become a respected and recognized investment credential. To earn a CFA charter, you must have four years of qualified investment work experience, become a member of CFA Institute, pledge to adhere to Code of Ethics and Standards of Professional Conduct on an annual basis, apply for membership to a local CFA member society, and complete the CFA Program.

The CFA Program is organized into three levels, each culminating in a six-hour exam. Completing the program takes most candidates between two and five years (there is no limit to the number of times you can take each exam), but you can take as long as you need to complete the program.

Disciplinary Information

David William Goeglein has not been the subject of any legal or disciplinary event.

Other Business Activities

Mr. Goeglein is not engaged in any business activities other than those related to Legacy Investment Partners, LLC.

Additional Compensation

Our advisory representatives are also licensed with various insurance companies. Commissions will be earned by our financial advisors if insurance products are purchased through these insurance companies.

Please be aware we are paid commissions as compensation when we sell insurance products. Commission payments create a conflict of interest if advisors make recommendations based upon the amount of their compensation rather than the need of the client. The Advisors at Legacy Investment Partners LLC have a duty at all times to place your needs ahead of theirs and avoid or mitigate conflicts of interest. We will explain the specific costs associated with any recommended investments with you upon request.

Supervision

Mr. Goeglein is supervised by David Baker, Managing Member and Chief Compliance Officer. Mr. Baker can be reached at 913.696.1550.

We supervise Mr. Goeglein by requiring that he adhere to our processes and procedures as described in our firm's Code of Ethics. We will monitor the advice that Mr. Goeglein gives to you by performing the following reviews:

- A review of relevant account opening documentation when the relationship is established
- A daily review of account transactions,
- Review custodial information on a quarterly basis to assess account activity,
- Perform annual oversight so that Mr. Goeglein is aware of your current financial situation, objectives, and individual investment needs
- A review of client correspondence on an as needed basis.