

# Austerra Wealth Management LLC

December 2024

## Introduction

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Austerra Wealth Management LLC (“we”, “us”, “our”) is registered as an investment adviser with the Securities and Exchange Commission (SEC). Austerra Wealth Management LLC provides advisory services and financial planning services. Investment advisory and financial planning fees differ, and it is important for you to understand the differences. Free resources are available to research firms and financial professionals at [www.investor.gov/CRS](http://www.investor.gov/CRS). The site also provides educational materials about broker-dealers, investment advisers, and investing.

## Relationship Services

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### **What investment services and advice can you provide me?**

We offer Investment Advisor Services, including Investment Management Services. We receive trading authority (discretionary authority) from our clients to determine which securities to buy or sell in their portfolio, and in what amounts. All investments and portfolios are reviewed periodically throughout the year, depending on market conditions. Investment account reviews are conducted at least quarterly. More frequent reviews may be triggered by material changes in the client’s individual circumstances or the market, economic, or political environment.

Austerra Wealth Management is the Investment Advisor for Austerra Stable Growth Fund, LP and Austerra Stable Income Fund, LP. These partnerships are offered to investors that qualify (accredited investors).

For additional information, please reference Form ADV Part 2A, Item 4 and Item 13.

Account minimums: We require \$1,000,000 for Investment Management Clients, \$1,000,000 for the Austerra Stable Growth Fund, LP and \$100,000 for the Austerra Stable Income Fund, LP.

Frequently Asked Relationship Service Questions:

- Given my financial situation, should I engage an investment advisor? Why or why not?
- How will you choose investments to recommend to me?
- What is your relevant experience, including your licenses, education, and other qualifications?

## Fees, Costs, Conflicts and Standard of Conduct

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### **What fees will I pay?**

Our advisory fees for Investment Management are asset based. We charge an annual fee between 1.00% and 1.95% on a quarterly basis, payable in advance, based on the account value at the prior quarter end. Investors in the Funds are charged a 1% annual management fee and an incentive fee of 20%. The more assets there are in your advisory account, the more you will pay in fees; thus, the firm may have an incentive to encourage you to increase the assets in your account.

Clients may incur charges from Financial Institution(s) and other third parties such as brokerage commissions, custody fees, exchange fees, SEC fees, mutual fund fees, exchange traded fund fees, wire transfer and electronic fund processing fees. You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce any amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying. For additional information, please see our Form ADV Part 2A, Item 5

### **What are your legal obligations to me when acting as my investment adviser?**

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When we act as your investment adviser, we are required to act in your best interest and not put our interests ahead of yours. At the same time, the way we are compensated creates some conflicts with your interests. Here are some examples to help you understand what this means. We receive a performance-based incentive fee in addition to a management fee; therefore, we may be inclined to make investments that involve more risk to increase the incentive fee paid to the firm. In addition, the General Partner may enter into securities transactions with Related Parties on behalf of the Fund. See Form ADV Part 2A for additional information.

You should understand and ask us about these conflicts because they can affect the investment advice we provide you.

## **How else does your firm make money and what conflicts of interest do you have?**

We are affiliated with Austerra Stable Growth Fund, LP (ASGF) and Austerra Stable Income Fund, LP (ASIF). We receive a performance-based incentive (compensation) and a management fee for the management of ASGF and ASIF. The owner of the General Partner has outside business activities. See Form ADV Part 2A for a complete list of those activities, the prospective conflicts of interest, and how those conflicts of interest are mitigated.

## **How do your financial professionals make money?**

Financial professionals are compensated based upon a percentage of the assets under management and the Austerra Funds pay an incentive fee based on positive performance.

Frequently Asked Fee Questions:

- Help me understand how these fees and costs might affect my investments. If I give you \$1,000,000 to invest, how much will go to fees and costs, and how much will be invested for me?
- How might your conflicts of interest affect me, and how will you address them?

## Disciplinary History

### **Do you or your financial professionals have legal or disciplinary history?**

No.

A free search tool to research us and our financial professionals is available at [www.investor.gov/crs](http://www.investor.gov/crs).

Frequently Asked Disciplinary Questions:

- As a financial professional, do you have any disciplinary history? For what type of conduct?

## Additional Information

**Additional Information about our services is available** at <https://austerra.com> and to request an up-to-date copy of the relationship summary, contact Mark Holland at [mark@austerra.com](mailto:mark@austerra.com) or at 214-810-0250.

Conversation Starters: Ask your financial professional

- Who will be my primary contact person?
- Is he or she a representative of an investment advisor or a broker-dealer?
- Who can I talk to if I have concerns about how this person is treating me?

Updated sections to CRS:

What are your legal obligations to me when acting as my investment adviser?

How else does your firm make money and what conflicts of interest do you have?