



March 28, 2024

## **MOUNTAIN VIEW STRATEGIC WEALTH**

FINANCIAL ADVISORS FOCUSED ON YOUR FUTURE

### Mountain View Strategic Wealth, LLC – Form CRS

#### Item 1 – Introduction

Mountain View Strategic Wealth, LLC (“we,” “our,” or “us”) is registered with the Securities and Exchange Commission (SEC) as an investment adviser. Brokerage and investment advisory services and fees differ, and it is important for you to understand these differences. Free and simple tools are available to research firms and financial professionals at <https://www.investor.gov/CRS>, which also provides educational materials about broker-dealers, investment advisers, and investing.

#### Item 2 – Relationship & Services: What investment services and advice can you provide me?

Mountain View Strategic Wealth, LLC offers investment advisory and financial planning services to retail investors. We strive to provide investment advice, develop financial strategies, and define goals as well as regularly monitor investments as part of our standard services.

*Investment Authority:* All accounts give us discretionary authority. We may accept, at our discretion, non-discretionary accounts. *Monitoring:* Mountain View Strategic Wealth, LLC monitors client portfolios on a continuous and ongoing basis. Such reviews are conducted by the firm’s investment personnel and/or investment advisor representatives. The frequency of reviews will depend upon the complexity of accounts, the nature of the advisory recommendations, changes in tax or market conditions, as well as other conditions and material changes to the client’s situation. For additional information, please see our Form ADV, Part 2A Brochure (Items 4 and 7) on the Investment Adviser Public Disclosure website (<https://adviserinfo.sec.gov/>). There is no minimum amount required to open an account.

#### Conversation Starters

Given my financial situation, should I choose an investment advisory service? 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? What do these qualifications mean?

#### Item 3 – Fees, Costs, and Standards of Conduct: What fees will I pay?

*Principal Fees and Costs:* Mountain View Strategic Wealth, LLC offers investment management services for an annual negotiated fee based on the amount of assets under our management, the size and composition of the portfolio, and the type of services rendered, charged monthly in advance. Financial planning is offered on a fixed fee basis, generally ranging from \$1,850 to \$9,600, or from \$200 to \$500 on an hourly basis. Fees and costs affect the value of accounts over time. We have a fiduciary duty to manage accounts in a cost effective manner and consider custodian fees, account maintenance fees, wire transfer and electronic fund fees, charges imposed directly by a mutual fund or ETF in a client’s account as disclosed in the prospectus, deferred sales charges, fees related to variable annuities, other transaction fees (ticket charges), margin costs, and product-level fees when making investment recommendations. We charge an asset-based fee; the more assets there are in a retail investor’s account, the more a retail investor will pay in fees, and the firm will therefore have an



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incentive to encourage the retail investor to increase the assets in his or her account. You will pay fees and costs whether you make or lose money on your investments. Please make sure you understand what fees and costs you are paying. For additional information, please refer to our Form ADV, Part 2A Brochure (Items 4, 5, and 7) on the Investment Adviser Public Disclosure website (<https://adviserinfo.sec.gov/>).

*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?*

As an Investment Adviser, we always have a fiduciary duty to act in your best interest. Mountain View Strategic Wealth, LLC does not offer proprietary products, receive payments from third parties for investment advice, participate in revenue sharing agreements, or conduct principal trading.

### Conversation Starters

Help me understand how these fees and costs might affect my investments. If I invest \$10,000, 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?

*How do your financial professionals make money?*

Our Financial Professionals are compensated by cash compensation from the advisory, financial planning, and/or hourly consulting fees that we charge you. The percentage charge is based on the scope and complexity of your account(s), the amount of time and expertise required as well as the account value.

### Item 4 – Disciplinary History – Do you or your financial professionals have legal or disciplinary history?

No. Mountain View Strategic Wealth, LLC does not have any legal, financial, or disciplinary history to report. Please visit <https://www.investor.gov/CRS> to research our firm and our financial professionals.

### Conversation Starters

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

### Item 5 – Additional Information

For additional information about our services, please refer to our Form ADV, Part 2A brochure or the SEC's website (<https://adviserinfo.sec.gov/>). John S. Morgan is our Chief Compliance Officer; he can be reached by phone (845-834-4343) or email ([john@mvswealth.com](mailto:john@mvswealth.com)) at any time to request a current copy of our Form ADV Part 2A and our Client Relationship Summary (Form CRS).

### Conversation Starters

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