



**ALPHA WEALTH STRATEGIES, LLC** is an investment advisory firm registered with the Securities and Exchange Commission. Brokerage and investment advisory services and fees differ, and it is important that you understand the differences. Please visit <https://www.investor.gov/CRS> for free, simple tools to research firms and financial professionals, as well as educational materials about broker-dealers, investment advisers, and investing.

## Relationships & Services

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

We offer investment advisory/consulting services to high net worth individuals on a fee-only basis. We do not provide brokerage services; however, service providers we recommend do. Our services include a review of your current financial situation, risk tolerance, goals and objectives, and cash flow in order to develop a personalized Investment Policy Statement for you, which limits what we may recommend to you. We do not recommend proprietary products (investment products we create), and limit investment recommendations to mutual funds and separate account money managers. Although you will give us the power to make certain portfolio decisions without your prior approval (called *discretionary authority*), we will typically consult with you and obtain your approval before making changes to your investment allocation strategy, mutual funds, or money managers. We will monitor your investment portfolio and custodial account activity on an on-going basis, as well as provide you performance reports and manager/fund evaluations quarterly. Working with your other advisors (estate planner, tax practitioner, etc.) we will assist in developing a cohesive, coordinated tax sensitive investment strategy for you. Should you become a client, you will be required to notify us of any changes to your financial situation, goals, and risk tolerance as your personal situation or life events change that could impact your investment strategy.

**Account Minimums:** We prefer to work with individuals having at least \$5 million in manageable investment assets. Please see our Form ADV 2, Item 5. Minimums may be waived by us at our discretion. Fees are paid quarterly based on the value of assets in the portfolio at the beginning of each quarter.

**Additional Information:** Please also see our Form ADV Part 2A (“Brochure”), specifically Items 4 & 7 which we have provided to you with this document and can be found online at <https://adviserinfo.sec.gov/firm/summary/139757>.

*Questions to ask us: 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?*

## Fees, Costs, Conflicts and Standard of Conduct

### *What fees will I pay?*

Our firm is a fee-only investment adviser which means you pay us a fee for our advice based on assets you engage us to help you invest and we receive no compensation from other sources. We do not make products to sell you, nor do we trade or sell securities for related third parties to earn commissions. We are not paid, directly or indirectly, by third parties for advice we give you. Fees are calculated as a percentage of your assets quarterly, in accordance with the investment advisory consulting agreement we agree to in writing. We do not charge a “performance fee” (an added fee for exceeding a benchmark goal). However, the more assets you have in your account(s) the more you will pay us, so we have an incentive to increase those assets in order to increase our fee.

In addition, you will pay all separate account money manager fees and mutual fund fees, plus securities brokerage commissions, transaction costs and custody fees, if any, that may be imposed by selected custodians or charged by the custodian's brokerage firm through whom securities are bought or sold. We will not receive any part of these fees or commissions. We will ensure you understand the specific nature and amount of these fees when we meet.



## Form ADV Part 3 – Client Relationship Summary

February 2024

**Additional Information:** You will pay fees and costs whether you make or lose money on your investments. Fees, costs and income taxes will reduce any gross returns you make on your investments over time. Please make sure you understand what fees and costs you are paying and refer to our Form ADV, Part 2A brochure for greater detail, or at <https://adviserinfo.sec.gov/firm/summary/139757>.

*Questions to ask us: Help me understand how these fees, costs and taxes might affect my investments. If I give you \$5,000,000 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 do you address them?*

*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?*

*When we act as your investment adviser, we have to act in your best interest and not put our interest ahead of yours. At the same time, the way we make money creates some conflicts with your interests. You should understand and ask us about these conflicts because they could potentially affect the investment advice we provide you. Here are some examples to help you understand what this means:* Because the fee you pay us is based on the value of your assets, the more you have in your advisory account(s) the more we earn; *therefore we have an incentive to increase those assets in order to increase our fee* - either by withholding financial advice that would reduce those assets (e.g. recommendations regarding mortgages or other borrowing) or increase those assets (e.g. qualified plan lump sum/rollover recommendations), or recommending certain investments with higher return potential that would also have higher risk potential. Examples of potential conflicts are more fully addressed in our ADV Part 2A Item 11.

*Questions to ask us: How might your conflicts of interest affect me, and how will you address them?*

**Additional Information:** Please see the Form ADV, Part 2A brochure we provided to you, or visit: <https://adviserinfo.sec.gov/firm/summary/139757>

**How do your financial professionals make money?** Our “employees” that advise you are partners (members) of the Firm and may receive a combination of salary and bonuses in the form of “guaranteed payments,” and owner distributions which are based on their respective ownership share of the net income of the Firm. Bonuses are *not* directly tied to any event (such as bringing in new clients or new assets) that would create a conflict of interest or undue financial incentive to mislead a client or potential client.

## Disciplinary History

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

No, we do not have any legal or disciplinary events. Visit <https://www.investor.gov/CRS> for a free, simple search tool to research us and our financial professionals. There you can also access an electronic version of the Form ADV Part 2 that we have given you.

*Questions to ask us: As a financial professional, do you have any disciplinary history? For what type of conduct?*

## Additional Information

**For additional information on our advisory services,** please visit our website at [www.alphawealthstrategies.com](http://www.alphawealthstrategies.com). If you have any questions, need additional information, or want another copy of this Client Relationship Summary or our Form ADV Part 1 or Part 2, please contact Clark Blackman II at 281-758-5252.

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