

# Amplified Advisors Part 2A of Form ADV Firm Brochure

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This brochure provides information about the qualifications and business practices of Amplified Advisors. If you have any questions about the contents of this brochure, please contact us at [compliance@amplifiedadvisors.io](mailto:compliance@amplifiedadvisors.io). 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 Amplified Advisors is also available on the SEC's website at: [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

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Amplified Advisors LLC (“Amplified Advisors”) was founded in 2024 by Joseph Riley, CEO. Amplified Advisors has been registered with the U.S. Securities and Exchange Commission since March 2024. Amplified Advisors’ business is limited to providing individuals (each referred to as a “User”) with an interactive online platform at [www.discovery.amplifiedadvisors.io](http://www.discovery.amplifiedadvisors.io) that utilizes a questionnaire and proprietary rules-based modeling to refer a User at least one third party advisor registered or chartered as a fiduciary with a regulatory body in the United States (“Advisor”) that have elected to participate in our matching platform (“Service”). It is solely the responsibility of the User to determine whether to meet with and/or retain an Advisor. Amplified Advisors does not review the ongoing performance of an Advisor, participate in the management of any User’s account by an Advisor, or provide advice regarding specific investments. Amplified Advisors also does not establish advisory accounts or manage any client assets. The Advisors are responsible for determining and implementing specific investment strategies for the Users.

The Service is not a recommendation of any specific investments or any investment strategy. It is the responsibility of the Users, and the Advisors they engage, to determine what types of investments are suitable. Any tax, estate planning, accounting, legal or other advice or services other than as described in this document are beyond the scope of the Service, and Amplified Advisors makes no representation regarding the Advisors’ ability to perform any of those services.

Except for certain clerical functions performed by Amplified Advisors Concierge Service (such as verification of a User, scheduling appointments and appointment follow-up communications), Amplified Advisors provides investment resources solely through its interactive website. Amplified Advisors does not meet with Users at its office.

Amplified Advisors does not manage any assets. As of December 31, 2023, Amplified Advisors managed \$0 on behalf of any clients.

## Item 5 Fees and Compensation

Amplified Advisors does not charge any fees to Users for the Service. If a User decides to hire an Advisor referred by the Service, the User will pay fees to that Advisor based on the services the Advisor provides to the User and the terms and conditions of any investment management and advisory agreements between the User and the Advisor. Users may also incur certain fees or charges imposed by third parties, independent from Amplified Advisors, in connection with their investments.

Advisors are charged a flat monthly fee to utilize Amplified Advisors' Service, unrelated to the quantity of Users referred or dependent on if a User decides to engage with an Advisor. Amplified Advisors does not receive a portion of the ongoing Advisor management fee (such as an assets under management fee or another type of revenue-sharing arrangement). The fee arrangement is mutually agreed upon between Amplified Advisors and the Advisors.

Advisors may pay Amplified Advisors different levels of fees based upon, among other factors, the level of attention needed and marketing or consulting work done by Amplified Advisors. Advisors may also have different targeted budgets for lead generation with Amplified Advisors, which will impact the number of potential matches that an Advisor receives. This creates a potential conflict of interest for Amplified Advisors as Amplified Advisors could have an incentive to refer clients to Advisors that pay higher levels of fees and/or have larger lead generation budgets. SmartAsset has taken steps to mitigate this conflict of interest, including by implementing policies that prevent Amplified Advisors employees who make referrals from having access to the Advisors' fee schedules and designing its proprietary rules-based modeling to avoid favoring Advisors that pay higher levels of fees. In addition, Users receive a disclosure statement that describes the relationship between Amplified Advisors and each Advisor with whom the User is matched and the fact that compensation is paid to Amplified Advisors.

### **Compensation**

Amplified Advisors has designed programs for certain Amplified Advisors representatives to include, in addition to base salaries, incentive compensation for scheduling an appointment with an Advisor. In addition, certain Amplified Advisors representatives receive incentive compensation for successfully adding and maintaining eligible Advisors on the Amplified Advisors platform.

## **Item 6 Performance Based Fees and Side-by-Side Management**

Amplified Advisors does not charge any performance fees as it does not manage any assets.

## **Item 7 Types of Clients**

Amplified Advisors primarily provides investment advisory services to individuals and high net worth individuals. There is no fee or minimum level of wealth to use the Amplified Advisors platform.

## **Item 8 Methods of Analysis, Investment Strategies and Risk Loss**

Amplified Advisors does not manage User assets. Amplified Advisors has developed a questionnaire and utilizes proprietary rules-based modeling to pair a User to potential Advisors. Once the User's questionnaire responses have been gathered, Amplified Advisors matches them against its database of Advisors based on a limited set of criteria, including the location of the

Advisor relative to the User, the willingness of an Advisor to manage the User's stated level of assets, and whether the User is comfortable working with an Advisor on a remote basis. There will be occasions when the universe of potential Advisor matches is limited because of Advisor criteria, and certain Advisors may be included in as matches more often because of larger budgets. The data gathered from the Users as part of the matching process is provided to the Advisor matches to assist them in understanding the Users' financial goals and potential requirements for working with an Advisor.

Amplified Advisors screens Advisors that seek to join the Amplified Advisors platform. In determining who to admit to the platform, Amplified Advisors conduct due diligence reviews of all Advisor applicants. In these due diligence reviews, Amplified Advisors verifies the identity of all Advisors on the platform with email verification and remote-screening meetings to verify identity. Additionally, Amplified Advisors verifies that each Advisor is registered as a fiduciary, or chartered as such, with a regulatory body in the United States. Further, Amplified Advisors considers all Advisor applicants, regulatory history, professional credentials, and conducts a qualitative red flag assessment. **Amplified Advisors does not review or consider an Advisor's investment strategies, investment performance, or any other aspect of an Advisor's investment advice in the due diligence process.** To be accepted onto Amplified Advisors platform, Advisors must meet Amplified Advisors' initial due diligence criteria. Advisors that are accepted onto Amplified Advisors platform are also required to enter into Amplified Advisors Services Agreement. Advisors must complete this process prior to being included as a potential match for any User.

After the initial onboarding review, Amplified Advisors conducts regular reviews of the regulatory history and registration status of the Advisors on the platform. Amplified Advisors may modify or waive criteria for Advisors on a case-by-case basis. Additionally, Amplified Advisors may, without notice, change the eligibility criteria for Advisors participating on the Amplified Advisors platform. Notwithstanding the eligibility criteria described above, Amplified Advisors retains discretion with respect to which Advisors may access the Amplified Advisors platform.

Users visiting [www.amplifiedadvisors.io](http://www.amplifiedadvisors.io) or [www.discovery.amplifiedadvisors.io](http://www.discovery.amplifiedadvisors.io) will be offered access to the interactive platform, whereby based on the User's input, the User will see at least one potential Advisor match presented by Amplified Advisors. Amplified Advisors will contact the User to verify their interest in being connected to an Advisor match that was presented. If Amplified Advisors is unable to contact the User, Amplified Advisors will confirm that the user has submitted a working phone number.

During the verification process and upon User request, Amplified Advisors may further tailor User recommendations based on further input from the User gained from the Concierge Services.

In some instances, based upon the additional consumer driven criteria provided during the verification of a User, the User may be eligible to be rematched to other Advisors based upon prior form inputs, updated form inputs, or upon providing additional consumer driven preferences. Upon verification, Amplified Advisors will connect the User to one of the Advisors selected.

Prior to engaging Amplified Advisors for services, each User must complete the online questionnaire and agree to the terms of use. Information that each User provides to Amplified Advisors about their annual income, net worth, investment knowledge, and other nonpublic information about their account(s) are shared by Amplified Advisors with the User's Advisor matches.

Past performance of any Advisor is not a guarantee of future returns. Investing in securities and other investments involved a risk of loss that each User should understand and be willing to bear. Users are reminded to discuss these risks with the Advisor they select to be their Advisor, if applicable. Users should obtain risk disclosures from any Advisor in which they conduct business and fully understand the risks of investing.

Advisors, including Amplified Advisors, face certain operational and technology risks. An externally caused information security incident, such as a cyber-attack, or an internally caused incident, such as a failure to control access to key systems, could materially interrupt business operations or cause unintended disclosure of sensitive information. Amplified Advisors has adopted an information security system to address and respond to these areas of risk.

## **Item 9 Disciplinary Information**

Amplified Advisors and its employees have not been involved in any legal or disciplinary events in the past 10 years that would be material to a client's evaluation of the company or its personnel.

Amplified Advisors encourages Users to perform their own due diligence on any Advisor with whom Users partner. Amplified Advisors registration information can be found at <https://adviserinfo.sec.gov/>.

## **Item 10 Other Financial Industry Activities and Affiliations**

Amplified Advisors has no other activity or affiliations within the Financial Industry that would cause conflict of interest.

## **Item 11 Code of Ethics, Participation or Interest in Client Transactions and Personal Trading**

Amplified Advisors has adopted a written code of ethics that is applicable to all supervised persons that defines our fiduciary commitment to each User. Among other things, the code of ethics provides ethical guidelines and mitigation of conflicts of interest regarding Amplified Advisors' duties to its Users.

Procedures have been adopted to ensure compliance with the provisions of the code of ethics. The code of ethics is predicated on the belief that Amplified Advisors' Users shall be treated with honesty, good faith, and that Amplified Advisors shall put the interests of its Users ahead of its employees and principals, particularly where Amplified Advisors' interests conflict with those of its Users. A copy of Amplified Advisors code of ethics is available on request by contacting Amplified Advisors via our website at [www.amplifiedadvisors.io](http://www.amplifiedadvisors.io).

## **Item 12 Brokerage Practices**

Amplified Advisors does not select or recommend broker dealers or custodians. However, Amplified Advisors may recommend Advisors that may be affiliated with entities of brokers or custodians or that recommend these providers as a part of a User's relationship with the Advisor. Amplified Advisors encourages Users to discuss brokerage practices with the Advisors they engage.

## **Item 13 Review of Accounts**

As Amplified Advisors does not manage any assets, there are no accounts requiring review.

## **Item 14 Client Referrals and Other Compensation**

Amplified Advisors is compensated by the Advisors as discussed in Item 5. Each Advisor enters into Amplified Advisors Service Agreement outlining compensation to be paid to Amplified Advisors for access to Amplified Advisors' platform and services.

## **Item 15 Custody**

Amplified Advisors does not accept or maintain any User accounts. Therefore, Amplified Advisors does not have custody of any client assets.

## **Item 16 Investment Discretion**

Amplified Advisors does not manage User assets. Therefore, it does not exercise any investment decision.

## **Item 17 Voting Client Securities**

Amplified Advisors does not manage User assets and does not accept proxy voting authority for any User. Additionally, Amplified Advisors will not provide advice regarding proxy solicitations. Amplified Advisors does not participate in class actions on behalf of Users.

## **Item 18 Financial Information**

Amplified Advisors does not charge Users to use its online platform, nor does it charge Users a fee of any kind. Amplified Advisors has never filed for bankruptcy and is not aware of any financial condition expected to affect its ability to meet its obligations to Users.