



Firm Brochure

(Part 2A of Form ADV)

David S. Reinders, Inc. (CRD # 143703)

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This brochure provides information about the qualifications and business practices of David S. Reinders, Inc. If you have any questions about the contents of this brochure, please contact us at: 661-222-2331, or by email at info@davidsreinders.com.

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. Registration as an Investment Advisor does not imply a certain level of skill or training. Additional information about David S. Reinders is available on the SEC's website at <http://www.adviserinfo.sec.gov/>

DATE: January 20, 2021

Material Changes

Annual Update

The Material Changes section of this brochure will be updated annually when material changes occur since the previous release of the Firm Brochure.

Material Changes since the Last Update

The U.S. Securities and Exchange Commission issued a final rule in July 2010 requiring advisers to provide a Firm Brochure in narrative “plain English” format. The new final rule specifies mandatory sections and organization.

We have had the following material changes:

- Our Assets under Management have changed. Because our assets under management exceed \$100M, we have applied for and been granted SEC registration.

Full Brochure Available

Whenever you would like to receive a complete copy of our Firm Brochure, please contact us by telephone at: 661-222-2331 or by email at: info@davidsreinders.com

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Advisory Business

Firm Description

The Registered Investment Advisory firm, David S. Reinders, Inc., (“Reinders”) was founded in 2007.

Reinders provides comprehensive personalized confidential financial planning and investment management to individuals, pension and profit sharing plans, trusts, estates, and small businesses. Advice is provided through consultation with the client and may include: determination of financial objectives, identification of financial problems, cash flow management, tax planning, insurance review, investment management, education funding, retirement planning, and estate planning.

Reinders is a fee-only financial planning and investment management firm. The firm does not sell annuities, insurance, stocks, bonds, mutual funds, limited partnerships, or other commissioned products. The firm is not affiliated with entities that sell financial products or securities. No commissions in any form are accepted. No finder’s fees are accepted.

The firm provides investment advice as an integral part of financial planning. In addition, Reinders advises clients regarding cash flow, college planning, retirement planning, tax planning and estate planning.

Reinders does not act as a custodian of client assets. The client always maintains asset control. Reinders places trades for clients under a limited power of attorney that allows the firm to buy and sell securities for the firm and rebalance the client’s assets without getting prior approval from the client.

A written evaluation of each client's initial situation is provided to the client, often in the form of a net worth statement. Periodic reviews generally conducted semi-annually, are also communicated to provide reminders of the specific courses of action that need to be taken. More frequent reviews occur but are not necessarily communicated to the client unless immediate changes are recommended.

Other professionals (e.g., lawyers, accountants, insurance agents, etc.) are engaged directly by the client on an as-needed basis. Conflicts of interest will be disclosed to the client in the unlikely event they should occur.

The initial meeting is free of charge and is considered an exploratory interview to determine the extent to which financial planning and investment management may be beneficial to the client.

In this document, David S. Reinders, Inc. discloses all material conflicts of interest which could reasonably be expected to impair the rendering of unbiased and objective advice.

Principal Owners

David S. Reinders is a 50% stockholder. Anne L. Reinders is a 50% stockholder.

Types of Advisory Services

Reinders provides financial planning and investment supervisory services, also known as asset management services and furnishes investment advice through consultations. On more

than an occasional basis, Reinders furnishes advice to clients on matters not involving securities, such as taxation issues, and trust services that may include estate planning.

As of March 12, 2019, Reinders manages approximately \$87 Million in assets for approximately 180 client relationships. All assets are managed on a discretionary basis.

Tailored Relationships

The goals and objectives for each client are documented in our client relationship management system. Investment Strategies are created that reflect the stated goals and objectives. Clients may impose restrictions on investing in certain securities or types of securities.

Agreements may not be assigned without client consent.

Types of Agreements

The following agreement defines the typical client relationships.

Investment Advisory Agreement

An Investment Advisory Agreement is executed when the client decides to implement the financial plan that Reinders proposes. Fees included are for:

- Financial Planning Services which range between \$2,000 and \$4,000 annually, depending on the complexity of the client's financial goals and assets. Financial planning fees are paid 50% upon commencement of the client relationship and after the first six months 25% per quarter.
- Portfolio Management Services are calculated as a percentage of assets under management as follows:

Total Account Assets Annual Percentage

Under \$100,000	2%
More than \$100,000, up to \$400,000	1.8%
More than \$400,000, up to \$700,000	1.6%
More than \$700,000, up to \$1,000,000	1.4%
More than \$1,000,000, up to \$1,500,000	1.2%
More than \$1,500,000, up to \$2,000,000	1.1%
More than \$2,000,000	1.0%

Asset Management Fees are charged quarterly in advance, which means that we invoice you before the three-month billing period has begun. These fees are for Portfolio Management Services only and do not include any transaction costs. Clients are responsible for paying transaction costs that are charged by the brokerage firm that custodies the client's account. The firm does not receive any part of the transaction costs.

If a client terminates an Investment Advisory Agreement before the end of the first year, fees for Financial Planning Services that were calculated at a fixed rate as detailed above, will be recalculated at an hourly rate of \$275.00 per hour, taking into consideration the actual number of hours spent.

Hourly Planning Engagements

Reinders provides hourly planning services for clients who need advice on a limited scope of work. The hourly rate for limited scope engagements is \$275.00.

Asset Management

Assets are invested primarily in no-load or low-load mutual funds and exchange-traded funds through National Financial Services, LLC and Fidelity Brokerage Services LLC, ("together with all affiliates: "Fidelity") the brokerage firm that custodies our client's assets. Fund companies charge each fund shareholder an investment management fee that is disclosed in the fund prospectus. Fidelity may charge a transaction fee for the purchase of some funds. Reinders does not receive any compensation, in any form, from fund companies.

Stocks and bonds may be purchased or sold through the client's brokerage account with Fidelity when appropriate. Investments may also occasionally include: equities (stocks), certificates of deposit, investment company securities (variable life insurance, variable annuities, and mutual funds shares).

Initial public offerings (IPOs) are not available through Reinders.

Termination of Agreement

A Client may terminate any of the aforementioned agreements at any time by notifying Reinders in writing and paying the fees for the time spent on the investment advisory engagement prior to notification of termination. If the client made an advance payment, Reinders will refund any unearned portion of the advance payment.

Reinders may terminate any of the aforementioned agreements at any time by notifying the client in writing. If the client made an advance payment, Reinders will refund any unearned portion of the advance payment.

Fees and Compensation

Description

Reinders bases its investment management fees on a percentage of assets under management.

Financial plans are priced according to the degree of complexity associated with the client's situation and are billed on an hourly or flat annual rate.

Fees are generally not negotiable.

Clients are under no obligation to purchase investment products that Reinders recommends through our firm; they have the option to purchase investment products that Reinders recommends through other brokers or agents that are not affiliated with the firm.

Fee Billing

Investment management fees are billed quarterly, in advance, meaning that we invoice you before the three-month billing period has begun. Financial planning fees (with the exception of the first payment) and asset management fees are deducted from a designated client account

to facilitate billing. The client must consent in advance to direct debiting of their investment account.

The firm charges an annual financial planning fee, which is billed 50% upon the inception of the client's advisory agreement, and, after the first six months, billed at 25% quarterly thereafter.

Fees for Financial Planning Services for separate financial plans are billed 50% in advance, with the balance due upon delivery of the financial plan.

Other Fees

Fidelity may charge transaction charges on purchases or sales of certain mutual funds and exchange-traded funds. These transaction charges are usually small and incidental to the purchase or sale of a security. The selection of the security is more important than the nominal fee that the custodian charges to buy or sell the security. Fidelity also charges transaction fees on the purchases and sales of stocks and bonds. Reinders does not receive any part of these transaction charges.

Reinders, in its sole discretion, may waive its minimum fee and/or charge a lesser investment management fee based upon certain criteria (e.g., historical relationship, type of assets, anticipated future earning capacity, anticipated future additional assets, dollar amounts of assets to be managed, related accounts, account composition, negotiations with clients, etc.).

Expense Ratios

Mutual funds generally charge a management fee for their services as investment managers. The management fee is called an expense ratio. For example, an expense ratio of 0.50 means that the mutual fund company charges 0.5% for their services. These fees are in addition to the fees paid by you to Reinders.

Performance figures quoted by mutual fund companies in various publications are after their fees have been deducted.

Past Due Accounts and Termination of Agreement

Reinders reserves the right to stop work on any account that is more than 30 days overdue. In addition, Reinders reserves the right to terminate any financial planning engagement where a client has willfully concealed or has refused to provide pertinent information about financial situations when necessary and appropriate, in Reinders' judgment, to providing proper financial advice. Any unused portion of fees collected in advance will be refunded within 30 days.

Performance-Based Fees

Sharing of Capital Gains

Fees are not based on a share of the capital gains or capital appreciation of managed securities.

Reinders does not use a performance-based fee structure because of the potential conflict of interest. Performance-based compensation may create an incentive for the adviser to recommend an investment that may carry a higher degree of risk to the client.

Types of Clients

Description

Reinders generally provides investment advice to individuals, trusts, estates, corporations or business entities.

Client relationships vary in scope and length of service.

Account Minimums

The minimum account size is \$50,000 of assets under management, which equates to an annual management fee of 2% or \$1,000.00.

Reinders has the discretion to waive the account minimum. Accounts of less than \$50,000 may be set up when the client and the advisor anticipate the Client will add additional funds to the accounts bringing the total to \$50,000 within a reasonable time. Other exceptions will apply to employees of Reinders and their relatives, or relatives of existing clients.

Methods of Analysis, Investment Strategies and Risk of Loss

Methods of Analysis

The main sources of information include financial newspapers and magazines, research materials prepared by others, corporate rating services, annual reports, prospectuses, filings with the Securities and Exchange Commission, and company press releases.

Other sources of information that Reinders may use include Morningstar Office mutual fund information and the Internet.

Investment Strategies

The primary investment strategy used for client accounts is tactical asset allocation utilizing a core and satellite approach. The core positions are designed for long term positions, should market conditions allow. Reinders does not by nature and design, react to market changes within any given day. Our satellite holdings serve to enhance stronger positions within a given market environment or to reduce volatility in prudent management. Portfolios may be globally diversified to control the risk associated with traditional markets.

The investment strategy for a specific client is based upon the objectives stated by the client during consultations. The client may change these objectives at any time.

Other strategies may include long-term purchases and sometimes short-term purchases when market conditions dictate that a recently purchased security be sold.

Risk of Loss

All investment programs have certain risks that are borne by the investor. Our investment approach constantly keeps the risk of loss in mind. Investors face the following investment risks:

- **Interest-rate Risk:** Fluctuations in interest rates may cause investment prices to fluctuate. For example, when interest rates rise, yields on existing bonds become less attractive, causing their market values to decline.

- **Market Risk:** The price of a security, bond, or mutual fund may drop in reaction to tangible and intangible events and conditions. This type of risk is caused by external factors independent of a security's particular underlying circumstances. For example, political, economic and social conditions may trigger market events.
- **Inflation Risk:** When any type of inflation is present, a dollar today will not buy as much as a dollar next year, because purchasing power is eroding at the rate of inflation.
- **Currency Risk:** Overseas investments are subject to fluctuations in the value of the dollar against the currency of the investment's originating country. This is also referred to as exchange rate risk.
- **Reinvestment Risk:** This is the risk that future proceeds from investments may have to be reinvested at a potentially lower rate of return (i.e. interest rate). This primarily relates to fixed income securities.
- **Business Risk:** These risks are associated with a particular industry or a particular company within an industry. For example, oil-drilling companies depend on finding oil and then refining it, a lengthy process, before they can generate a profit. They carry a higher risk of profitability than an electric company, which generates its income from a steady stream of customers who buy electricity no matter what the economic environment is like.
- **Liquidity Risk:** Liquidity is the ability to readily convert an investment into cash. Generally, assets are more liquid if many traders are interested in a standardized product. For example, Treasury Bills are highly liquid, while real estate properties are not.
- **Financial Risk:** Excessive borrowing to finance a business' operations increases the risk of profitability, because the company must meet the terms of its obligations in good times and bad. During periods of financial stress, the inability to meet loan obligations may result in bankruptcy and/or a declining market value.

Disciplinary Information

Legal and Disciplinary

The firm and its employees have not been involved in legal or disciplinary events related to past or present investment clients.

Other Financial Industry Activities and Affiliations

Financial Industry Activities

Advisory Affiliates of Reinders do not engage in any other financial industry activities.

Affiliations

Reinders has no arrangements that are material to its advisory business or its clients.

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

Code of Ethics

The employees of Reinders have committed to a Code of Ethics that is available for review by clients and prospective clients upon request. The firm will provide a copy of the Code of Ethics to any client or prospective client upon request.

Participation or Interest in Client Transactions

Reinders and its employees may buy or sell securities that are also held by clients. Employees may not trade their own securities ahead of client trades. Employees comply with the provisions of the Reinders *Compliance Manual*.

Personal Trading

Since most employee trades are small mutual fund trades or exchange-traded fund trades, the trades do not affect the securities markets.

Brokerage Practices

Selecting Brokerage Firms

Reinders has selected Fidelity, member NYSE/SIPC as the brokerage firm for its clients. All brokerage services utilized by Reinders are provided by Fidelity. Reinders does not have any affiliation with product sales firms. In addition to Fidelity, Reinders may recommend that client assets be held by the Mutual Fund Company that sponsors the investment product. Reinders recommends custodians based on the proven integrity and financial responsibility of the firm.

Best Execution

Reinders reviews the execution of trades at Fidelity on a daily basis. Transaction fees charged by Fidelity are also reviewed. Reinders does not receive any portion of the transaction fees.

Soft Dollars

Reinders receives no soft dollars.

Order Aggregation

Most trades are mutual funds or exchange-traded funds where trade aggregation does not garner any client benefit. On the rare occasion that a stock or bond purchase is made in a client account, this transaction would be executed as a single transaction and orders are not aggregated.

Review of Account

Periodic Reviews

Account reviews are performed at least quarterly by David S. Reinders. Account reviews are performed more frequently when market conditions dictate.

Review Triggers

Other conditions that may trigger a review are changes in the tax laws, new investment information, and changes in a client's own situation.

Regular Reports

All Clients receive periodic communications on at least a quarterly basis. The written updates may include a net worth statement, portfolio statement and a summary of objectives and progress towards meeting those objectives.

Client Referrals and Other Compensation

Incoming Referrals

Reinders has been fortunate to receive many client referrals over the years. The referrals came from current clients, estate planning attorneys, accountants, employees, personal friends of employees and other similar sources. The firm does not compensate referring parties for these referrals.

Referrals Out

Reinders does not accept referral fees or any form of remuneration from other professionals when a prospect or client is referred to them.

Custody

Account Statements

Reinders does not have custody of client assets or funds. All client assets are held at Fidelity, or directly with the product provider. All accounts are held at qualified custodians, which means that the custodians provide account statements at least quarterly, directly to clients at their address of record or electronically upon the client's request. We urge clients to compare statements prepared by us with statements received from the custodian and report any discrepancies.

Performance Reports

Clients are urged to compare the account statements received directly from their custodians to the performance report statements provided by Reinders.

Net Worth Statements

Clients are provided with net worth statements that are generated from our client relationship management system twice per year. Net worth statements contain approximations of bank

account balances provided by the client, as well as the value of land, automobiles and real estate, where the exact values of assets are not material to the financial planning tasks.

The net worth statements are used for long-term financial planning and to measure progress towards the ultimate goal of financial independence.

Investment Discretion

Discretionary Authority for Trading

Reinders accepts discretionary authority to manage securities accounts on behalf of clients. Reinders has the authority to determine, without obtaining specific client consent, the securities to be bought or sold, and the amount of the securities to be bought or sold.

Discretionary trading authority facilitates placing trades in your accounts on your behalf so that we may promptly implement the investment policy that you have approved in writing.

Limited Power of Attorney

A limited power of attorney is a trading authorization for this purpose. You sign a limited power of attorney so that we may execute the trades that you have approved.

Voting Client Securities

Proxy Votes

Reinders does not vote proxies on securities. Clients are expected to vote their own proxies. If clients do not wish to vote their own proxies, they are requested to designate someone other than Reinders to vote proxies for them.

Financial Information

Financial Condition

Reinders does not have any financial impairment that will preclude the firm from meeting contractual commitments to clients.

A balance sheet is not required to be provided because Reinders does not serve as a custodian for client funds or securities.

Business Continuity Plan

General

Reinders has a Business Continuity Plan in place that provides detailed steps to mitigate and recover from the loss of office space, communications, services or key people.

Disasters

The Business Continuity Plan covers natural disasters such as snow storms, hurricanes, tornados, and flooding. The Plan covers man-made disasters such as loss of electrical power,

loss of water pressure, fire, bomb threat, nuclear emergency, chemical event, biological event, T-1 communications line outage, Internet outage, railway accident and aircraft accident. Electronic files are backed up daily and archived offsite.

Alternate Offices

Alternate offices are identified to support ongoing operations in the event the main office is unavailable. It is our intention to contact all clients within five days of a disaster that dictates moving our office to an alternate location.

Loss of Key Personnel

Michael L. Weitzman will be able to manage David S. Reinders' client accounts, in the event of David S. Reinders' temporary disability.

Information Security Program

Information Security

Reinders maintains an information security program to reduce the risk that your personal and confidential information may be breached.

Privacy Notice

Reinders is committed to maintaining the confidentiality, integrity and security of the personal information that is entrusted to us.

We recognize that you have placed your trust in us, and we take the responsibility to preserve that trust. One way we endeavor to keep your trust is to properly handle that personal information.

We pledge to you that:

- Protection of your privacy is a top priority;
- Your account information and all documents you provide to us are protected in a secure environment;
- We only collect personal information in order to accomplish our customer commitments to you;
- Information about you is only used and shared in limited and controlled ways; and,
- In the event that we wish to share information about you with non-affiliated third parties, you will be given options concerning what information may be shared, and your privacy wishes will be respected. You may also choose to opt out of any information sharing.

Reinders maintains physical, electronic and procedural safeguards to ensure that personal information we have about you is treated responsibly, and in accordance with our privacy policy. We restrict access to information about you only to those representatives and employees who need to know that information in order to provide products and services to you or to conduct Reinders' business. David S. Reinders or employees who have access to the information may only use it for legitimate business purposes. In addition, we take steps to safeguard information about you in accordance with applicable data security regulations.

We collect personal information about you from the following sources:

- New Account Forms, applications for the purchase of various products, and other forms;
- Product vendors, as a result of your transactions with us; and/or,
- Depending on the product you are requesting to purchase, information received from consumer reporting agencies, medical providers or others.

We may disclose the following categories of information to entities that perform administrative services on our behalf or as required or permitted by law for legal, regulatory, or other purposes:

- Information you provide directly to us on the Customer Account Form, applications or other forms;
- Information we receive about your transactions with us or with our product providers; and/or,
- If required for the products you purchase, information received from other agencies such as: consumer reporting agencies concerning your creditworthiness, motor vehicle and driver's license reports, medical and employment information, and loss reports.

A special note about medical or health information: While we might receive medical or health information from you at the time of application for various types of insurance, we do not use it or share it – internally or externally – for any purpose other than what is directly related to the administration of your policy, account, or claim, as required or permitted by law, or as you authorize us to do.

We will notify you in advance if our privacy policy is expected to change. We are required by law to deliver this *Privacy Notice* to you annually, in writing.



Firm Brochure Supplement

(Part 2B of Form ADV)

David S. Reinders, Inc.
27433 Tourney Road, Suite 250
Valencia, CA 91355
Telephone: 661-222-2331
FAX: 661-222-9291

This brochure supplement provides information about the advisory affiliates of David S. Reinders and which supplements the brochure for David S. Reinders, Inc. You should have received a copy of that brochure. If you have any questions about the contents of this brochure, please contact us at: 661-222-2331, or by email at: info@davidreinders.com.

Additional information about the advisory affiliates of David S. Reinders is available on the SEC's website at www.adviserinfo.sec.gov.

January 20, 2021

Brochure Supplement (Part 2B of Form ADV)

Education and Business Standards

Reinders requires that advisors in its employ have an educational background demonstrating knowledge of financial planning and tax planning. Examples of acceptable coursework include a CFP®. Additionally, advisors must have work experience that demonstrates their aptitude for financial planning and investment management.

Professional Certifications

Employees have earned certifications and credentials that are required to be explained in further detail.

Certified Financial Planner (CFP): Certified Financial Planners are licensed by the CFP Board to use the CFP trademark. CFP certification requirements:

- Bachelor's degree from an accredited college or university.
- Completion of the financial planning education requirements set by the CFP Board (www.cfp.net).
- Successful completion of the 10-hour CFP® Certification Exam.
- Three-year qualifying full-time work experience.
- Successfully pass the Candidate Fitness Standards and background check.

David Scott Reinders, CFP® - CRD# 2307652**Educational Background:**

- Date of birth: February 18, 1956
- BA, Judson College, 1980
- Certified Financial Planner – CFP®, 1993

Business Experience:

- David S. Reinders, Inc., 1992 to Present
- Alliance Advisory and Securities, Inc. – Registered Principal, 2012 to 2013
- LPL Financial – Registered Principal, 2009 to 2012
- Associated Securities Corp. - Registered Principal, 1996 to 2009
- Associated Planners Investment Advisory – Advisory Affiliate 1996 to 2009

Disciplinary Information: None

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Other Business Activities:

- David S. Reinders holds a valid insurance license and may, on occasion, sell insurance products..

Additional Compensation:

- David S. Reinders receives insurance commissions.

Supervision:

- David S. Reinders is the president of the firm and he is not supervised.

Michael Lee Weitzman – CRD# 5804927**Educational Background:**

- Date of birth: July 2, 1952
- State License: Series 65

Business Experience:

- David S. Reinders, Inc., 2010 – Present
- Alliance Advisory and Securities, Inc. – Registered Representative 2012 – 2013
- LPL Financial – Registered Representative, 2011 to 2012
- Complete Post Media Corp., Hollywood, CA 1983 – 1999
- LaserPacific Media Corp., Hollywood, CA 1999 – 2009

Disciplinary Information: None

Arbitration Claims: None

Self-Regulatory Organization or Administrative Proceeding: None

Bankruptcy Petition: None

Other Business Activities:

- Michael Weitzman does on engage in any other business activities.

Additional Compensation:

Michael L. Weitzman does not receive any additional compensation.

Supervision:

Michael L. Weitzman is supervised by David S. Reinders, President. He reviews Michael Weitzman's work through frequent office interactions as well as remote interactions. He also reviews Michael L. Weitzman's activities through our client relationship management system.

David S. Reinders' contact information:

PHONE: 661-222-2331

EMAIL: dreinders@davidsreinders.com

Matthew Lee Shifflett – CRD# 7223819**Educational Background:**

- Date of birth: April 3, 1961
- BS, University of California Los Angeles, 1986
- State License: Series 65

Business Experience:

- David S. Reinders Inc., 2020 to present
- Havenhouse Church, Administrator, 2017 to 2019
- SCAN Health Plan, Vice President Strategic Analytics, 1998 to 2013
- FHP Inc./Talbert Medical Management Corporation/MedPartners, Administrator, 1989 to 1997
- Six Flags Magic Mountain, Area Supervisor, 1978 to 1989

Other Business Activities:

- Administrative Consulting Engagements

Additional Compensation:

- Matt Shifflett receives compensation for his administrative consulting engagements.

Supervision:

Matthew L. Shifflett is supervised by David S. Reinders, President. He reviews Matthew Shifflett's work through frequent office interactions as well as remote interactions. He also reviews Matthew Shifflett's activities through our client relationship management system.

David S. Reinders' contact information:

PHONE: 661-222-2331

EMAIL: dreinders@davidsreinders.com