

Form ADV Part 2A - Investment Advisor Brochure  
Form ADV 2B – Brochure Supplement

***Cover Page***



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**Brochure Date: January 13, 2021**

This Form ADV Part 2 (Investment Advisor Brochure) provides information about the business practices of Fischer Investment Strategies, LLC. If you have any questions about the contents of this brochure, please contact us by using one of the methods listed above. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission ("SEC") or by any state securities authority. Registration is mandatory for all persons meeting the definition of investment advisor and does not imply a certain level of skill or training.

Additional information about Fischer Investment Strategies, LLC also is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

***Material Changes***

The purpose of this section is to discuss only material changes since the last annual update of Fischer Investment Strategies, LLC Investment Advisor Brochure.

Since our last update on March 23, 2020, Fischer Investment Strategies, LLC has made the following material changes to our Disclosure Brochure:

- Updated amount of assets under management (See Item 4); and
- Effective July 22, 2019, Fischer Investment Strategies, LLC became registered with the Securities and Exchange Commission, switching from State to SEC registration due to our assets under management.

***Delivery:***

Within 120 days of our fiscal year end we will deliver our annual Summary of Material Changes if there have been material changes since the last annual updating amendment.

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## ***Advisory Business***

### ***Advisory Firm***

Fischer Investment Strategies, LLC (“FIS”) has been providing investment advisory services since 2011. Ted Fischer is the founder and President and has been in the financial services industry since 1994.

### ***Advisory Services***

FIS is dedicated to providing individuals and other types of clients with a wide array of investment advisory services. We specialize in asset management, retirement plan consulting, and financial planning and consulting.

As of December 31, 2020, FIS has assets under management of \$142,538,703 managed on a discretionary basis and \$0.00 managed on a non-discretionary basis.

### **Asset Management:**

We emphasize continuous and regular account supervision. As part of our asset management service, we generally create a portfolio, consisting of individual stocks or bonds, exchange traded funds (“ETFs”), and mutual funds. At client’s request, FIS may include options.

The client’s individual investment strategy is tailored to their specific needs and may include some or all of the previously mentioned securities. Each portfolio will be initially designed to meet a particular investment goal, which we determine to be suitable to the client’s circumstances. Once the appropriate portfolio has been determined, we review the portfolio at least quarterly and if necessary, rebalance the portfolio based upon the client’s individual needs, stated goals and objectives. Each client has the opportunity to place reasonable restrictions on the types of investments to be held in the portfolio.

It is the client's responsibility to notify FIS at any time there are changes. Clients may call in at any time during normal business hours to discuss directly with FIS about the client's account, financial situation, or investment needs. Clients will receive from the custodian/brokerage firm timely confirmations and at least quarterly statements containing a description of all transactions and all account activity. The client will retain rights of ownership of all securities and funds in the account to the same extent as if the client held the securities and funds outside the program. In addition to custodial statements, FIS sends quarterly reports to the client.

### **Retirement Plan Consulting:**

We provide retirement plan consulting services to employer plan sponsors on an ongoing basis. Generally, such consulting services consist of assisting employer plan sponsors in establishing, monitoring and reviewing their company's participant-directed retirement plan. As the needs of the plan sponsor dictate, areas of advising could include: investment options, plan structure and participant education.

All retirement plan consulting services shall be in compliance with the applicable state laws regulating pension consulting services. This applies to client accounts that are retirement or other employee benefit plans (“Plan”) governed by the Employee Retirement Income Security Act of 1974, as amended (“ERISA”). If the client accounts are part of a Plan, and we accept appointments to provide our services to such accounts, we acknowledge that we are a fiduciary within the meaning of Section 3(21) or 3(38) of

ERISA as designated by the Retirement Plan Consulting Agreement with respect to the provision of services described therein.

### **Financial Planning and Consulting:**

We provide a variety of financial planning and consulting services to individuals, families and other clients regarding the management of their financial resources based upon an analysis of client's current situation, goals, and objectives. Generally, such financial planning services will involve preparing a financial plan or rendering a financial consultation for clients based on the client's financial goals and objectives. This planning or consulting may encompass one or more of the following areas: Investment Planning, Retirement Planning, Estate Planning, Charitable Planning, Education Planning, Corporate and Personal Tax Planning, Cost Segregation Study, Corporate Structure, Real Estate Analysis, Mortgage/Debt Analysis, Insurance Analysis, Lines of Credit Evaluation, Business and Personal Financial Planning.

Our written financial plans or financial consultations rendered to clients usually include general recommendations for a course of activity or specific actions to be taken by the clients. For example, recommendations may be made that the clients begin or revise investment programs, create or revise wills or trusts, obtain or revise insurance coverage, commence or alter retirement savings, or establish education or charitable giving programs. It should also be noted that we refer clients to an accountant, attorney or other specialist, as necessary for non-advisory related services. For written financial planning engagements, we provide our clients with a written summary of their financial situation, observations, and recommendations. For financial consulting engagements, we usually do not provide our clients with a written summary of our observations and recommendations as the process is less formal than our planning service. Plans or consultations are completed within six (6) months of the client signing a contract with us, assuming that all the information and documents we request from the client are provided to us promptly. Implementation of the recommendations will be at the discretion of the client.

Clients should be aware that a conflict of interest may exist between our firm and the client, as some recommendations may result in the compensation of our representatives. Clients are under no obligation to act upon our recommendation and if the client elects to act on any of the recommendations, the client is under no obligation to effect the transaction through our firm.

### **Seminars**

On occasion we hold seminars. These seminars may include presentations on various securities and insurance products, or on financial planning strategies. A fee is not charged to those in attendance.

## ***Fees and Compensation***

### **Asset Management:**

Fees for Asset Management are computed at an annualized percentage of assets under management on a sliding scale.

<b>Assets Under Management</b>	<b>Annual Percentage of Assets Charge</b>
\$0 to \$249,999.99	1.00%
\$250,000 to \$499,999.99	0.90%
\$500,000 to \$749,999.99	0.80%
\$750,000 to \$999,999.99	0.70%
\$1,000,000 to \$1,999,999.99	0.60%
\$2,000,000 to \$2,999,999.99	0.50%
\$3,000,000 to \$4,999,999.99	0.40%

Over \$5,000,000

Negotiable

These fees are for advisory services only and do not include any transaction fees or commissions, which may be charged separately by the broker/dealer custodial firm. See the section heading Brokerage Practices for more information.

The fee will be payable quarterly in arrears. The first payment is assessed and due at the end of the first calendar quarter and will be assessed pro rata in the event the Agreement is executed at any time other than the first day of the current calendar quarter. Subsequent payments are due and will be assessed on the first day after the end of each calendar quarter based on an average daily balance of the given quarter.

Payment of fees may be paid direct by the client, or client may authorize the custodian holding client funds and securities to deduct FIS advisory fees direct from the client account in accordance with statements prepared and submitted to the custodian by FIS. The custodian will provide periodic account statements to the client. Such statements will reflect all fee withdrawals by FIS. It is the client's responsibility to verify the accuracy of the fee calculation. The custodian will not determine whether the fee is properly calculated. FIS sends a copy of the invoice to the client at the same time we send the statement to the custodian.

### **Retirement Plan Consulting:**

We charge a tiered or flat fee for retirement plan consulting services. The total estimated fee, as well as the ultimate fee that we charge you, is based on the scope and complexity of our engagement with you. Our fees generally range from \$750 to \$10,000. This fee is billed quarterly in arrears.

### **Financial Planning and Consulting:**

We charge on an hourly or flat fee basis for financial planning and consulting services. Hourly rates are \$250. Flat fees, based on the scope and complexity of our engagement, generally range from \$500 to \$10,000.

A 50% retainer of the estimated hourly fee or of the quoted flat fee is due upon signing the Advisory Agreement. The balance is due within 30 days of the delivery of the service.

### **General Fee Disclosures**

Fees are generally negotiable. Please refer to your advisory agreement for specifics regarding your fee arrangement.

Fees are not collected for services to be performed more than six months in advance.

Advisory services similar to those offered by this advisor may be found elsewhere at lower rates.

Mutual funds, closed-end funds and exchange traded funds are investment vehicles and the investment strategies, objectives and types of securities held by such funds vary widely. In addition to the advisory fee charged by us, clients indirectly pay for the expenses and advisory fees charged by the funds in which their assets are invested. All such funds incur operating expenses in connection with the management of the fund. Investment funds pass some or all of these expenses through to their shareholders (the individual investors in the funds) in the form of management fees. The management fees charged vary from fund to fund. In addition, funds may charge shareholders (individual investors in the funds) other types of fees, such as early redemption or transaction fees. These charges also vary widely among funds.

As a result, clients will still pay management fees and other “indirect” fees and expenses as charged by each mutual fund (or other fund) in which they are invested. Clients are provided a copy of a fund prospectus for each fund in which they invest by their custodian or by the fund sponsor. As required by law, a prospectus represents the fund’s complete disclosure of its management and fee structure. In addition, a fund’s prospectus can be obtained directly from the fund.

Client may terminate the Advisory Agreement without penalty (no fees due) within 5 days of execution.

Thereafter for Asset Management, services will continue until either party terminates the Agreement on 30 calendar days written notice. If termination occurs prior to the end of a calendar quarter, Client will be invoiced for fees due on a pro-rata basis.

Thereafter for a Financial Plan, Client may terminate the Agreement at any time and a refund of the unearned fees will be made based on time and effort expended before termination. The Agreement for the Financial Plan terminates upon delivery of the Plan. At this time no refunds will be made.

The Advisory Agreement contains a pre-dispute arbitration clause. Client understands that the agreement to arbitrate does not constitute a waiver of the right to seek a judicial forum where such a waiver would be void under the federal securities laws. Arbitration is final and binding on the parties.

### ***Performance-Based Fees and Side-By-Side Management***

FIS does not charge performance-based fees, which is based on capital gains in the client account.

### ***Types of Clients and Account Minimums***

We have the following types of clients:

- Individuals and High Net Worth Individuals;
- Trust; Estates or Charitable Organizations;
- Pension and Profit Sharing Plans

Our requirements for opening and maintaining accounts or otherwise engaging us:

- We require a minimum combined account balance of \$100,000 for our asset management service. Generally, this minimum account balance requirement is negotiable and would be required throughout the course of the client’s relationship with our firm.
- We generally charge a minimum fee of \$500 for written financial plans.

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

Investment advice may be offered on any investments held by a client at the start of the advisory relationship. The primary vehicles recommended for investing are passively managed mutual funds and customized, laddered bond portfolios. We generally only recommend investment grade bonds and monitors these securities for changes in rating. We evaluate insurance products such as annuities and various types of life insurance products.

Our methods of analysis is based on a number of factors including those derived from commercially available software technology, securities rating services, general market and financial information, due diligence reviews and specific investment analysis that clients may request.

Our investment advice is based on long-term investment strategies incorporating the principles of Modern Portfolio Theory. The approach is firmly rooted in the belief that markets are efficient and that investors' returns are determined principally by asset allocation decisions, not by market timing or stock selection. We focus on developing globally diversified portfolios, principally through the use of passively managed mutual funds that are available only to institutional investors and clients of a network of select investment advisors.

Although all investments involve risk, our investment recommendations seek to limit risk through broad global diversification and investment in high-quality fixed income securities. Our investment strategy is designed for investors who desire a buy and hold strategy, with an investment time horizon of a minimum of five years, and preferably longer. Frequent trading of securities increases transaction costs that we seek to minimize for clients.

Investing in securities involves risk of loss that clients should be prepared to bear. While the stock market may increase and your account(s) could enjoy a gain, it is also possible that the stock market may decrease and your account(s) could suffer a loss. It is important that you understand the risks associated with investing in the stock market, are appropriately diversified in your investments, and ask us any questions you may have.

We generally invest client's cash balances in money market funds, FDIC Insured Certificates of Deposit, high-grade commercial paper and/or government backed debt instruments. Ultimately, we try to achieve the highest return on our client's cash balances through relatively low-risk conservative investments. In most cases, at least a partial cash balance will be maintained in a money market account so that our firm may debit advisory fees for our services related to asset management, as applicable.

### ***Disciplinary Information***

An investment advisor must disclose material facts about any legal or disciplinary event that is material to a client's evaluation of the advisory business or of the integrity of its management personnel.

FIS does not have any disclosure items.

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

We have no other financial industry activities and affiliations to disclose.

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

#### ***Code of Ethics***

FIS maintains a Code of Ethics. The Code of Ethics sets forth standards of conduct expected of advisory personnel; requires compliance with federal securities laws; and, addresses conflicts that arise from personal trading by advisory personnel. Clients may request a copy of the Code of Ethics.

#### ***Personal Trading***

At times FIS and/or its IA Reps may take positions in the same securities as clients, and we will try to avoid conflicts with clients. The firm and its IA Reps will generally be "last in" and "last out" for the trading day when trading occurs in close proximity to client trades. We will not violate our fiduciary

responsibilities to our clients. Scalping (trading shortly ahead of clients) is prohibited. Should a conflict occur because of materiality (i.e. a thinly traded stock), disclosure will be made to the client(s) at the time of trading. Incidental trading not deemed to be a conflict (i.e. a purchase or sale which is minimal in relation to the total outstanding value, and as such would have negligible effect on the market price), would not be disclosed at the time of trading.



## ***Brokerage Practices***

### **Selection or Recommendation of Broker/Dealers**

For Asset Management, it is recommended, and clients may choose to implement trades and maintain custody of assets through a discount broker. The services of Charles Schwab & Co., Inc. or TD Ameritrade, Inc. are recommended. The selection is made on the discount rates and execution services available to the client. Clients may pay transaction fees to these brokers for the purchase of "no-load" funds. These brokerage firms provide the clients with consolidated statements.

**Schwab Advisor Services** division of Charles Schwab & Co., Inc. ("Schwab"), member FINRA/SIPC, provides FIS with access to its institutional trading and custody services, which are typically not available to Schwab retail investors. The services are made available at no charge, as long as a total of at least \$10 million of FIS's clients' assets are maintained in accounts at Schwab Advisor Services. Client accounts maintained in Schwab custody generally are not charged separately for custody, as Schwab is compensated by account holders through commissions or other transaction-related fees for securities trades that are executed through Schwab.

Schwab makes available software and technology to facilitate trade execution and access to client account data. See Soft Dollar Practices below. We may also purchase through Schwab, or through independent companies, computer equipment, portfolio accounting software, and/or real-time computer data to facilitate sending and receiving account information.

FIS participates in the institutional advisor program (the "Program") offered by **TD Ameritrade Institutional**. TD Ameritrade Institutional is a division of TD Ameritrade Inc. ("TD Ameritrade"), member FINRA/SIPC, an unaffiliated SEC-registered broker-dealer. TD Ameritrade offers to independent investment advisors services which include custody of securities, trade execution, clearance and settlement of transactions. FIS receives some benefits from TD Ameritrade through its participation in the Program.

FIS is not affiliated with these brokerage firms. IA Reps of our firm are not registered representatives of these brokerage firms and do not receive any commissions or fees from recommending these services.

### **Soft Dollar Practices**

FIS does not have any formal "soft dollar" arrangements in place, as that term is defined by § 28(e) of the Securities Exchange Act of 1934. FIS may receive research, products or other services from brokerage firms ("soft dollar benefits") as discussed below (See Schwab and TD Ameritrade). This could be construed as receipt of soft dollar benefits by FIS, and therefore, be deemed a potential conflict of interest. A potential conflict exists in that research and services acquired as a soft dollar benefit may or may not be utilized across our entire client base and client accounts may not benefit equally from such services. However, such services are not paid for using commission dollars as part of a soft dollar commission arrangement.

#### ***Schwab:***

FIS has access to research available through Schwab. This research is readily available to any investment advisor utilizing Schwab Advisor Services, and may be received by FIS on an unsolicited (unrequested) basis.

Schwab also makes available other soft dollar compensation for non-research products and services that benefit FIS but may not benefit its clients' accounts. Some of these other products and services assist FIS

in managing and administering clients' accounts. These include software and other technology that provide access to client account data, facilitate trade execution, pricing information and market data, assist with back-office support, recordkeeping, and client reporting. Many of these services generally may be used to service all or a substantial number of FIS's accounts, including accounts not maintained at Schwab. Schwab may also provide other services intended to help FIS manage and further develop its business enterprise. These services may include consulting, publications and conferences on practice management, information technology, business succession, regulatory compliance, and marketing. Schwab may make these available through independent third-parties. Schwab may discount or waive fees it would otherwise charge for these services, or pay all or a part of the fees of a third party providing these services to FIS.

FIS's recommendation that clients maintain their assets at Schwab may be based in part on the benefit to FIS of the availability of some of the foregoing products and services and not solely on the quality or cost of services provided by Schwab, which may create a potential conflict of interest.

***TD Ameritrade:***

As disclosed above, FIS participates in TD Ameritrade's institutional customer program and FIS may recommend TD Ameritrade to Clients for custody and brokerage services. There is no direct link between FIS's participation in the program and the investment advice it gives to its Clients, although FIS receives economic benefits through its participation in the program that are typically not available to TD Ameritrade retail investors. These benefits include the following products and services (provided without cost or at a discount): receipt of duplicate Client statements and confirmations; research related products and tools; consulting services; access to a trading desk serving FIS participants; access to block trading (which provides the ability to aggregate securities transactions for execution and then allocate the appropriate shares to Client accounts); the ability to have advisory fees deducted directly from Client accounts; access to an electronic communications network for Client order entry and account information; access to mutual funds with no transaction fees and to certain institutional money managers; and discounts on compliance, marketing, research, technology, and practice management products or services provided to FIS by third party vendors. TD Ameritrade may also have paid for business consulting and professional services received by FIS's related persons. Some of the products and services made available by TD Ameritrade through the program may benefit FIS but may not benefit its Client accounts. These products or services may assist FIS in managing and administering Client accounts, including accounts not maintained at TD Ameritrade. Other services made available by TD Ameritrade are intended to help FIS manage and further develop its business enterprise. The benefits received by FIS or its personnel through participation in the program do not depend on the amount of brokerage transactions directed to TD Ameritrade. As part of its fiduciary duties to clients, FIS endeavors at all times to put the interests of its clients first. Clients should be aware, however, that the receipt of economic benefits by FIS or its related persons in and of itself creates a potential conflict of interest and may indirectly influence FIS's choice of TD Ameritrade for custody and brokerage services.

***FIS duty:***

FIS understands its duty for best execution and considers all factors in making recommendations to clients. These research services may be useful in servicing all FIS clients, and may not be used in connection with any particular account that may have paid compensation to the firm providing such services. While FIS may not always obtain the lowest commission rate, FIS believes the rate is reasonable in relation to the value of the brokerage and research services provided.

**Directed Brokerage**

FIS generally does not allow a client to direct brokerage to another firm.

Special Consideration for ERISA Clients: A retirement or ERISA plan client may direct all or part of portfolio transactions for its account through a specific broker or dealer in order to obtain goods or services on behalf of the plan. Such direction is permitted provided that the goods and services provided are reasonable expenses of the plan incurred in the ordinary course of its business for which it otherwise would be obligated and empowered to pay. ERISA prohibits directed brokerage arrangements when the goods or services purchased are not for the exclusive benefit of the plan. Consequently, we will request that plan sponsors who direct plan brokerage provide us with a letter documenting that this arrangement will be for the exclusive benefit of the plan.

### Trade Aggregation

FIS manages accounts with mutual funds and on individual needs basis ETFs. This generally does not give rise to the ability to utilize trade aggregation ("block trading"). However, when using tax loss harvesting strategies, this may give rise to block trading.

While individual client advice is provided each account, client trades may be executed as a block trade. The Advisor encourages its existing and new clients to use the Advisor's "lead custodian." Only accounts in the custody of the lead custodian would have the opportunity to participate in aggregated securities transactions. All trades using the lead custodian will be aggregated and done in the name of the Advisor. The executing broker will be informed that the trades are for the account of the Advisor's clients and not for the Advisor itself. No advisory account within the block trade will be favored over any other advisory account, and thus, each account will participate in an aggregated order at the average share price and receive the same commission rate. The aggregation should, on average, reduce slightly the costs of execution, and the Advisor will not aggregate a client's order if in a particular instance the Advisor believes that aggregation would cause the client's cost of execution to be increased. The Custodian will be notified of the amount of each trade for each account. The Advisor and/or its IA Reps may participate in block trades with clients, and may also participate on a pro rata basis for partial fills, but only if clients receive fair and equitable treatment.

## ***Review of Accounts and Reports on Accounts***

### Reviews

Our Managing Member and Chief Compliance Officer, Ted Fischer, reviews all accounts.

We review accounts on at least a quarterly basis for our Asset Management service. The nature of these reviews is to learn whether clients' accounts are in line with their investment objectives, appropriately positioned based on market conditions, and investment policies, if applicable.

We may review client accounts more frequently than described above. Among the factors which may trigger an off-cycle review are major market or economic events, the client's life events, requests by the client, etc.

Retirement plan consulting clients receive reviews of their retirement plans for the duration of the retirement plan consulting service. We also provide ongoing services to retirement plan consulting clients where we meet with such clients upon their request to discuss updates to their plans, changes in their circumstances, etc.

Financial planning clients do not receive reviews of their written plans unless they take action to schedule a financial consultation with us. We do not provide ongoing services to hourly financial planning clients, but are willing to meet with such clients upon their request to discuss updates to their plans, changes in their circumstances, etc.

## Reports

We provide written reports to clients on a quarterly basis.

Verbal reports to clients take place on at least an annual basis when we meet with clients who subscribe to our Asset Management service.

Retirement plan clients do not receive written or verbal updated reports regarding their retirement plans unless they choose to contract with us for ongoing Retirement Plan Consulting services.

Hourly financial planning clients do not receive written or verbal updated reports regarding their financial plans unless they separately contract with us for a post-financial plan meeting or update to their initial written financial plan.

## ***Client Referrals & Other Compensation***

### Referral Fees Paid

Currently, FIS does not have any solicitation or referral arrangements in place whereby FIS compensates referring parties for client referrals. However, FIS may in the future enter into agreements with individuals and organizations that refer clients to FIS. All such agreements will be in writing and comply with applicable state and federal regulations. All clients procured by solicitors will be provided a copy of this Disclosure Brochure and given full written disclosures describing the terms and fee arrangements between the advisor and the solicitor prior to or at the time of entering into the advisory agreement.

As a matter of firm practice, the advisory fees paid to us by clients referred by solicitors will not be increased as a result of any referral.

### Referral Fees Received

FIS does not receive any referral fees.

## ***Custody***

Although client assets are held at a third-party independent custodian, FIS is deemed to have custody of client funds solely because of the fee deduction authority granted by the client in the investment advisory agreement. Except for this fee deduction, we do not have authority to withdraw funds out of client accounts.

Clients will receive account statements at least quarterly from the broker-dealer or other qualified custodian. Client is urged to compare custodial account statements against statements prepared by FIS for accuracy. Minor variations may occur because of reporting dates, accrual methods of interest and dividends, and other factors. The custodial statement is the official record of your account for tax purposes.

## ***Investment Discretion***

FIS maintains full discretion under a limited power of attorney as to the securities and amount of securities.

FIS will not have authority to withdraw funds or to take custody of client funds or securities, other than under the terms of the Fee Payment Authorization clause in the Agreement with the client.

## ***Voting Client Securities***

FIS does not vote proxies. It is the client's responsibility to vote proxies. Clients will receive proxy materials directly from the custodian. Questions about proxies may be made via the contact information on the cover page.

## ***Financial Information***

FIS does not require or solicit prepayment of more than \$1,200 in fees per client, six months or more in advance and therefore is not required to provide, and has not provided, a balance sheet.

An investment advisor is required to disclose any financial condition that is reasonable likely to impair our ability to meet our contractual obligations. FIS has no such financial circumstances to report.

FIS has not been the subject of a bankruptcy petition at any time during the past ten years.

SEE NEXT PAGE FOR FORM ADV 2B – BROCHURE SUPPLEMENT



Form ADV 2B – Brochure Supplement  
For  
Theodore (“Ted”) J. Fischer, CFP®, AIF®, QPFC®

This Brochure Supplement provides information about Ted Fischer that supplements the Fischer Investment Strategies brochure Form ADV Part 2A. You should have received a copy of that brochure. Please contact Ted Fischer if you did not receive Fischer Investment Strategies brochure or if you have any questions about the contents of this supplement. Additional information about Theodore James Fischer is available on the SEC’s website at: [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)

***Educational Background and Business Experience***

**Education and Business Background**

**Name:** Theodore (“Ted”) J. Fischer, CFP®, AIF®, QPFC®

**Year of Birth:** 1963

***Formal Education:***

San Diego State University, Bachelor of Science in Marketing, Minor in Finance, 1986

***Business Background:***

Fischer Investment Strategies, LLC, Managing Member and Chief Compliance Officer, 12/2011 - Present

Index Funds Advisors, Vice President, 06/2007- 12/2011

Churchill Management Group, Vice President, 08/1998- 06/2007

**Professional Designations Qualifications**

**CFP®** - Certified Financial Planner is issued by the Certified Financial Planner Board of Standards, Inc. Candidates must meet the following requirements:

- Complete CFP® education program or fulfillment by other specified credential
- Bachelor’s degree (or higher) from an accredited college or university
- Pass CFP® certification exam
- 3 years of full-time personal financial planning experience
- Continuing education requirement of 30 hours every 2 years

**AIF®** - Accredited Investment Fiduciary® certification is administered by the Center for Fiduciary Studies, LLC (a Fiduciary360 (fi360) company). The AIF designation certifies that the recipient has knowledge of fiduciary standards of care and their application to the investment management process. Designees must meet the following requirements:

- Education: Complete the training program
- Exam: Pass certification exam
- Prerequisite: Meet threshold of education, industry experience and/or professional development
- Continuing Education: 6 hours every year

**QPFC®** - Qualified Plan Financial Consultant® is issued by National Association of Plan Advisors.

Candidates must meet the following requirements:

- Education: Complete the training program
- Exam: Pass the Plan Financial Consulting (PFC-1 and PFC-2) Exams
- Prerequisite: Meet industry licensing and/or industry experience
- Continuing Education: 40 hours (2 of these must be ethics) in a two year cycle
- Membership: Must renew NAPA membership annually to retain credentials

### ***Disciplinary Information***

An investment advisor and its supervised persons (IA Reps) must disclose material facts about any legal or disciplinary event that is material to a client's evaluation of the advisory business or of the integrity of the IA Rep.

Ted Fischer does not have any disclosure items.

### ***Other Business Activities***

Ted Fischer has no other financial industry activities and affiliations to disclose.

### ***Additional Compensation***

Ted Fischer has no other compensation to disclose.

### ***Supervision***

Ted Fischer formulates his own investment advice. Ted Fischer is the Managing Member and Chief Compliance Officer. As such, Ted Fischer is responsible for all advice provided to clients.



Form ADV 2B – Brochure Supplement  
For  
Dean T. Julian

This brochure supplement provides information about Dean T. Julian that supplements our ADV Part 2A Firm Brochure. You should have received a copy of that brochure. Please contact Ted Fischer, Managing Member & Chief Compliance Officer, if you did not receive our firm's brochure or if you have any questions about the contents of this supplement.

Additional information about Dean Thomas Julian is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

***Educational Background and Business Experience***

***Education and Business Background***

***Name:*** Dean T. Julian

***Year of Birth:*** 1967

***Formal Education:***

University of Wisconsin - Oshkosh, Bachelor Degree, 1991

***Business Background:***

Fischer Investment Strategies, LLC, Investment Adviser Representative, 01/2018 - Present

Life Insurance Agent, 01/2001 - 12/2017

***Disciplinary Information***

An investment advisor and its supervised persons (IA Reps) must disclose material facts about any legal or disciplinary event that is material to a client's evaluation of the advisory business or of the integrity of the IA Rep.

Mr. Julian does not have any disclosure items.

***Other Business Activities***

Mr. Julian has no other financial industry activities and affiliations to disclose. However, Mr. Julian does provide notary services independently of his affiliation with FIS. Clients may, but are under no obligation, to utilize Mr. Julian's services for compensation. FIS receives no monetary compensation related to Mr. Julian's notary services.

***Additional Compensation***

Mr. Julian has no other compensation to disclose.



## ***Supervision***

Ted Fischer, Chief Compliance Officer is responsible for supervising Mr. Julian's activities. He can be reached at (805) 418-7686.