

# **Ironridge Wealth Management, LLC**

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## **PART 2A - APPENDIX 1 WRAP FEE PROGRAM BROCHURE**

This Brochure provides information about the qualifications and business practices of Ironridge Wealth Management, LLC ("Ironridge"). If you have any questions about the contents of this Brochure, please contact us at (770) 635-1925 or [Brian.Stickney@ironridgewealth.com](mailto:Brian.Stickney@ironridgewealth.com). The information in this Brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state authority.

Additional information about Ironridge also is available on the SEC's website at [www.AdviserInfo.sec.gov](http://www.AdviserInfo.sec.gov).

## **Item 2 Summary of Material Changes**

Form ADV Part 2 requires registered investment advisers to amend their brochure when information becomes materially inaccurate. If there are any material changes to an adviser's disclosure brochure, the adviser is required to notify you and provide you with a description of the material changes.

Since the filing of our last annual updating amendment, dated February 21, 2020 we have no material changes to report.

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## Item 4 Services, Fees, and Compensation

### General Information

Ironridge Wealth Management, LLC was formed in 2013, and provides financial planning and portfolio management services to its clients. Such services may be offered through the Ironridge Wrap Fee Program or the "Program", which has been designed to simplify the payment of management fees and brokerage expenses.

Brian Stickney is the sole principal owner of Ironridge. Please see Brochure Supplements, Exhibit A, for more information on Mr. Stickney and any other individuals who formulate investment advice and have direct contact with clients, or have discretionary authority over client accounts.

### Portfolio Management Services

At the beginning of a client relationship, Ironridge meets with the client, gathers information, and performs research and analysis as necessary to develop the client's Investment Plan. The Investment Plan will be updated from time to time when requested by the client, or when determined to be necessary or advisable by Ironridge based on updates to the client's financial or other circumstances.

To implement the client's Investment Plan, Ironridge will manage the client's investment portfolio on a discretionary or a non-discretionary basis. As a discretionary investment adviser, Ironridge will have the authority to supervise and direct the portfolio without prior consultation with the client. Under a non-discretionary arrangement, clients must be contacted prior to the execution of any trade in the account(s) under management. This may result in a delay in executing recommended trades, which could adversely affect the performance of the portfolio. This delay also normally means the affected account(s) will not be able to participate in block trades, a practice designed to enhance the execution quality, timing and/or cost for all accounts included in the block. In a non-discretionary arrangement, the client retains the responsibility for the final decision on all actions taken with respect to the portfolio.

### General Fee Information

Fees paid by clients to participate in the Ironridge Wrap Program generally include brokerage expenses (i.e., commissions, ticket charges, etc.) as well as the management fee paid to Ironridge. Under the all-inclusive billing alternative, Ironridge will assess one client fee that captures the management, brokerage and administrative portions collectively. The standard annual rate schedule is set forth below.

<u>Assets</u>	<u>Fee</u>
\$0 - \$250,000	1.68%
\$250,000 to \$500,000	1.43%
Amount over \$500,000	1.18%

Fees paid to Ironridge are exclusive of and distinct from the fees and expenses charged by mutual funds, ETFs (exchange traded funds) or other investment pools to their shareholders (generally including a management fee and fund expenses, as described in each fund's prospectus or offering materials). Clients will pay certain fees in addition to the fees of the Ironridge Wrap Fee Program, as more fully described in the Brochure, Part 2A. Ironridge Wrap Program fees which Ironridge does not pay to third parties in connection with transaction and execution expenses are retained by Ironridge. Because of this, Ironridge may have a disincentive to trade securities in the accounts of clients in the Program.

The client should review all fees charged by funds, Ironridge and others to fully understand the total amount of fees paid by the client for investment and financial-related services. Clients participating in the Ironridge Wrap Program may pay higher or lower fees than clients purchasing such services separately, depending on the cost of services if provided separately and the level of trading in a particular client's account.

## **Item 5 Account Requirements and Types of Clients**

Ironridge serves individuals, trusts, estates and charitable organizations. Ironridge may impose a minimum portfolio value and/or a minimum annual fee for conventional investment advisory services. Under certain circumstances and in its sole discretion, Ironridge may negotiate such minimums.

## **Item 6 Portfolio Manager Selection and Evaluation**

The Ironridge Wrap Fee Program was designed to simplify for clients the payment of management fees and brokerage expenses. The Program does not select advisers in addition to Ironridge, which is the only Portfolio Manager for the Program.

## **Item 7 Client Information Provided to Portfolio Managers**

Ironridge is the only portfolio manager under the Ironridge Wrap Program. No information is shared with any other portfolio manager.

## **Item 8 Client Contact with Portfolio Managers**

Ironridge is the only portfolio manager under the Ironridge Wrap Program. No restrictions are placed on client's ability to contact or consult with Ironridge.

## **Item 9 Additional Information**

Neither Ironridge nor its Management Person has any disciplinary disclosure required. Please see ADV Part 2A for more information in the following areas: **Item 10 - Other Financial Industry Activities and Affiliations, Item 11 - Code of Ethics, Item 13 - Review of Accounts, Item 14 - Client Referrals and Other Compensation, and Item 18 - Financial Information.**