

Form ADV, Part 3

(Form CRS – Client Relationship Summary)

March 2021

Introduction

Slayton Lewis Inc. is a Registered Investment Advisor (RIA), registered with the U.S. Securities and Exchange Commission. The services we offer and fees we charge are different from those of a broker-dealer and it is important that you understand the differences. As an RIA, we perform as a fiduciary to you as our client which means that we must always act in your best interest, not in the best interest of the firm. A broker-dealer on the other hand must only present investment options and solutions that are considered "suitable" and not necessarily the best choice for you. There are free and simple tools available to research firms and financial professionals at www.investor.gov/CRS, which also provides educational materials about investment advisors, broker-dealers, and investing.

What investment and financial advice can you provide to me?

Slayton Lewis provides personal financial planning and investment management to individuals, families and related entities. We also manage company retirement plans for certain types of clients. We work with each client to define financial goals and to develop tax-efficient strategies for reaching those objectives.

- We accept discretionary authority to manage investments on your behalf once a signed agreement is obtained. We have the authority to determine which securities are bought or sold, and the amount. Slayton Lewis will have discretion until the advisory agreement is terminated by you or our firm.
- Because we do not use any proprietary products, we have no incentive to use any specific investment vehicle or strategy in our investment management process, only what is best for you the client.
- Slayton Lewis requires a client to have a minimum of \$2,000,000 in manageable assets to begin a relationship, however this policy may be relaxed under certain circumstances.

Additional information about our advisory services may be found under Item 4 of our Form ADV Part 2A Firm Brochure, which is available online or by emailing a request to info@slaytonlewis.com

What will it cost me to hire Slayton Lewis?

Generally, we base our fees on a percentage of assets under management, so our fees will rise and fall with the value of the assets we manage for you. We typically do not charge additional fees for personal financial planning unless we believe a project is beyond the scope of normal financial planning, in which case, a written proposal will be presented before any work begins. Our investment management fees are tiered from 1% to .40% based upon on the value of your investments. In some cases, if an account is greater than \$10M, we may offer a fixed annual fee and we may charge an hourly fee for certain projects. We never charge performance fees. For many Slayton Lewis clients, we prepare tax returns which does command additional costs. When managing company retirement plans, fees begin at .75% and drop to

.25% once the account reaches \$10M.

- Since our fee is based on a percentage of assets in your account, we have an incentive to increase the assets over time.
- We will deduct fees either monthly or quarterly from a designated brokerage account at a qualified custodian. Billing is charged in arrears based upon the value of your account on the last trading day of the billing period. A detailed fee schedule showing calculations is provided with your billing statement and any cash flows in or out of the portfolio are adjusted accordingly in the billing calculation.
- Custodians may charge transaction fees on purchases or sales of certain mutual funds, stocks, bonds, and exchange-traded funds. These transaction charges are usually relatively nominal and are incidental to the purchase or sale of a security. In some cases, custodians may charge custody fees which are disclosed to clients when this type of arrangement is recommended.
- Mutual funds and exchange-traded funds generally charge a management fee for their services which is expressed as an expense ratio. Mutual fund fees also include transaction charges for the purchase or sale of securities within the fund and may charge other fees as disclosed in the fund prospectus. These fees are in addition to the fees you will pay to us.

You will pay fees and costs whether you make money or not. Fees and costs will reduce the return on your investments over time so please make sure you understand what fees and costs you are paying.

Additional information about our fees may be found under Item 5 of our Form ADV Part 2A Firm Brochure, which is available online or by requesting a copy at info@slaytonlewis.com

What are your legal obligations to me as my investment advisor? How else does your firm make money and does Slayton Lewis have conflicts of interest?

When we act as your investment advisor, we have to act in your best interest and not put our interests 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 can affect the investment advice we provide. Here is an example to help you understand what this means:

- Slayton Lewis may purchase or sell the same stocks, as are purchased or sold for you in accordance with our policies and procedures. Such personal securities transactions may raise conflicts of interest when we trade in a security that is owned by you or considered for purchase or sale for you.

How do your financial professionals make money?

Our financial professionals are compensated based upon a salary not commissions. They may also be paid a bonus based upon their individual performance and/or the performance of Slayton Lewis.

Does any financial professional at Slayton Lewis have legal or disciplinary history?

None of our employees at Slayton Lewis have ever had disciplinary actions initiated against them. Visit www.investor.gov/CRS for a free and simple search tool to research us and our financial professionals.

Additional Information

You can search our CRD# 114596 to find additional information about our investment advisory services on the SEC's website at <https://adviserinfo.sec.gov/>.



22 East 100 South
Third Floor
Salt Lake City UT 84111

150 North Wacker Drive
Suite 2300
Chicago IL 60606

866 752 9866