



## **Form ADV Part 2B – Brochure Supplement**

**for**

**Todd H. Sadwin, AIF®  
Chief Compliance Officer and Financial Planner**

**Effective: March 18, 2021**

This Form ADV 2B ("Brochure Supplement") provides information about the background and qualifications of Todd H. Sadwin, AIF®, (CRD# 6497631) in addition to the information contained in the Ivy Wealth Management, Inc. ("IWM" or the "Advisor", CRD# 164557) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the IWM Disclosure Brochure or this Brochure Supplement, please contact the Advisor at (401) 681-4266 or by email at [info@ivywealth.net](mailto:info@ivywealth.net).

Additional information about Mr. Sadwin is available on the SEC's Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or Individual CRD# 6497631.

## Item 2 – Educational Background and Business Experience

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Todd H. Sadwin, AIF<sup>®</sup>, born in 1971, is the Chief Compliance Officer and Financial Planner for IWM. Mr. Sadwin studied Psychology at the University of Rhode Island. Additional information regarding Mr. Sadwin's employment history is included below.

### Employment History:

Chief Compliance Officer (08/2019 to Present) Financial Planner, Ivy Wealth Management, Inc.	12/2017 to Present
Investment Advisor Representative, The Patriot Financial Group	03/2021 to Present
Insurance Agent, Minnesota Life Insurance Company	06/2015 to 11/2017
Insurance Agent, Pioneer Financial	05/2015 to 11/2017
Financial Advisor, Securian Financial Services, Inc.	06/2015 to 11/2017
Agency Development Manager, Colonial Life	11/2014 to 05/2015
Chief Operating Officer, West Bay Acquisitions	10/2009 to 07/2014

### Accredited Investment Fiduciary<sup>™</sup> ("AIF<sup>®</sup>")

The AIF<sup>®</sup> mark is held by the Center for Fiduciary Studies, LLC, a Fiduciary360 (fi360) company. The professional designations awarded by fi360 demonstrate the focus on all the components of a comprehensive investment process, related fiduciary standards of care, and commitment to excellence. AIF<sup>®</sup> designees undergo an initial training program, annual continuing education, and pledge to abide by the designation's code of ethics.

Since October 2002, the Accredited Investment Fiduciary<sup>™</sup> (AIF<sup>®</sup>) designation has been the mark of commitment to a standard of investment fiduciary excellence. Those who earn the AIF<sup>®</sup> mark successfully complete a specialized program on investment fiduciary standards of care and subsequently passed a comprehensive examination. AIF<sup>®</sup> designees demonstrate a thorough understanding of fi360's Prudent Practices for investment advisors and stewards.

## Item 3 – Disciplinary Information

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*There are no legal, civil or disciplinary events to disclose regarding Mr. Sadwin.* Mr. Sadwin has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Sadwin.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. *As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Sadwin.*

However, we do encourage you to independently view the background of Mr. Sadwin on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or Individual CRD# 6497631.

## Item 4 – Other Business Activities

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### Insurance Agency Affiliations

Mr. Sadwin is also a licensed insurance professional. Implementations of insurance recommendations are separate and apart from Mr. Sadwin's role with IWM. As an insurance professional, Mr. Sadwin will receive customary commissions and other related revenues from the various insurance companies whose products are sold. Mr. Sadwin is not required to offer the products of any particular insurance company. Commissions generated by insurance sales do not offset regular advisory fees. This may cause a conflict of interest in recommending certain products of the insurance companies. Clients are under no obligation to implement any recommendations made by Mr. Sadwin or the Advisor.

#### Patriot Financial Group, LLC

Mr. Sadwin is dually registered with The Patriot Financial Group, ("Patriot", CRD# 172470), a registered investment advisor with the U.S. Securities and Exchange Commission and offers investment advisory services to individuals, high net worth individuals, trusts, estates, and businesses. When deemed to be in the Client's best interest, IWM will refer Clients or prospective clients to Patriot. If a Client is referred to Patriot, the Client will be required to enter into an advisory agreement directly with Patriot. This practice presents a conflict of interest as Mr. Sadwin will benefit from compensation and revenue generated through Patriot. To mitigate this conflict of interest, IWM will not charge investment advisory fees on assets referred to Patriot. Clients will not pay a higher fee to either Patriot, or to IWM as a result of the referral.

#### **Item 5 – Additional Compensation**

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Mr. Sadwin has additional business activities that are detailed in Item 4 above.

#### **Item 6 – Supervision**

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Mr. Sadwin serves as the Chief Compliance Officer and Financial Planner of IWM. Mr. Sadwin can be reached at (401) 681-4266.

IWM has implemented a Code of Ethics, an internal compliance document that guides each Supervised Person in meeting their fiduciary obligations to Clients of IWM. Further, IWM is subject to regulatory oversight by various agencies. These agencies require registration by IWM and its Supervised Persons. As a registered entity, IWM is subject to examinations by regulators, which may be announced or unannounced. IWM is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.