

Form ADV Part 2A

D'Arcangelo Financial Group, LLC

SEC File No. 801-70094

200 E. Garden Street
Rome, NY 13440
(315) 336-9220

D'Arcangelo Financial Group, LLC is a New York State registered investment adviser.
This registration does not imply any level of skill or training.

November 23, 2021

This disclosure brochure (Form ADV Part 2A) provides information about the qualifications and business practices of D'Arcangelo Financial Group, LLC. If you have any questions about the contents of this brochure, please contact us at (315) 336-9220. 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.

Additional information about D'Arcangelo Financial Group, LLC is also available on the SEC's website at www.adviserinfo.sec.gov.

Item 2: Material Changes

Our Brochure was last updated on December 31, 2020. This section will note any material changes that may have been made since our last printed Brochure. Please note the following changes that have occurred:

- Our Firm no longer has client account assets under management. D'Arcangelo Financial Group only provides solicitation services.
- Our Firm is now a registered investment advisor of the State of New York.

We will further provide you with a new Brochure or a Summary of Material Changes, free of charge, as necessary.

Item 3: Table of Contents

Item 1:	Cover Page	1
Item 2:	Material Changes	2
Item 3:	Table of Contents	3
Item 4:	Advisory Business	4
Item 5:	Fees and Compensation	4
Item 6:	Performance-Based Fees and Side-By-Side Management	4
Item 7:	Types of Clients	4
Item 8:	Methods of Analysis, Investment Strategies and Risk of Loss	4
Item 9:	Disciplinary Information	5
Item 10:	Other Financial Industry Activities and Affiliations	5
Item 11:	Code of Ethics, Participation or Interest in Client Transactions and Personal Trading	5
Item 12:	Brokerage Practices	6
Item 13:	Review of Accounts	6
Item 14:	Client Referrals and Other Compensation	6
Item 15:	Custody	6
Item 16:	Investment Discretion	6
Item 17:	Voting Client Securities	6
Item 18:	Financial Information	7
Item 19:	Requirements for State-Registered Adviser	7

Item 4: Advisory Business

D’Arcangelo Financial Group, LLC (“we”, “our”, “us”, “DFG”), is an Independent Registered Investment Adviser with the State of New York. Our Firm does not provide investment advisory services. We focus on providing solicitation services and presenting the advisory services offered by another firm which may include the assist in establishing your client relationship with them. D’Arcangelo Holding, LLC is the principal owner of D’Arcangelo Financial Group, LLC. Mr. Robert Ritz is the President and Chief Compliance Officer for the Firm.

We are registered as an Investment Adviser with the State of New York, File No. 801-70094, in order to offer solicitation services to our clients (“you”). Such services are offered through our Financial Advisers (“FAs”) who have registered as our Investment Adviser Representatives (“Advisory Representatives”). The registration of our firm and its advisers does not imply a certain level of skill or training.

Management of Client Assets

D’Arcangelo Financial Group, LLC does not manage investment advisory accounts on either a discretionary or non-discretionary basis and does not have any client assets under management.

Item 5: Fees and Compensation

D’Arcangelo Financial Group, LLC and Royal Alliance Associates, Inc. have entered into an agreement pursuant to which our Firm and its representatives have agreed to refer prospective investment adviser clients to Royal Alliance in exchange for referral fees equal to 20% of the investment adviser fees earned by Royal Alliance's investment adviser representatives.

Royal Alliance will not charge a client referred by the Firm and its representatives any amount for the cost of obtaining the client in addition to the fee normally charged by Royal Alliance for investment advisory services. The Firm and its representatives are not employees, officers, or directors of, or otherwise affiliated with, Royal Alliance. The Firm and its representatives are not authorized to provide investment advice on behalf of Royal Alliance, or to act for or bind Royal Alliance. The Firm and its representatives may not accept any funds or payments in any form on behalf of Royal Alliance.

Item 6: Performance-Based Fees and Side-By-Side Management

We do not offer performance-based fees and do not engage in side-by-side management.

Item 7: Types of Clients

We provide solicitation services to individuals, high net worth individuals, trusts, estates, pension and profit sharing plans, charitable organizations, and corporations.

Item 8: Methods of Analysis, Investment Strategies and Risk of Loss

Our Firm does not provide investment advisory services. D’Arcangelo does not provide investment recommendations and does not recommend the type of account that you should open. We focus on providing solicitation services and presenting the advisory services offered by another firm which may include the assist in establishing your client relationship with them.

Item 9: Disciplinary Information

There are no material disciplinary events to report.

Item 10: Other Financial Industry Activities and Affiliations

We are affiliated with D’Arcangelo & Co., LLP (CPA firm), a certified public accounting firm. Some of our officers and representatives also serve as certified public accountants with the CPA firm. If a CPA firm client needs investment advisory services, the CPA firm, if requested by the client, will recommend us. Although the CPA firm will not receive referral fees from us, members of the CPA firm are entitled to receive indirect distributions relative to their interests in the CPA firm.

If you require accounting advice and/or tax preparation services, we, if requested by you, will recommend the services of the CPA firm. These services will be provided to you independent of us, as outlined in a separate agreement between you and the CPA firm. Although we will not receive a referral fee from the CPA firm, some of our members are entitled to receive distributions relative to their respective interests in the CPA firm.

Please be aware that you are not required to engage the CPA firm for accounting services and that no client of the CPA firm is required to engage us for solicitation services.

All representatives of our firm that provide advice to you (“Advisory Representatives”) are associated with Royal Alliance Associates, Inc. (“Royal Alliance”) as Registered Representatives. Royal Alliance is a diversified financial services company registered with the Financial Industry Regulatory Authority (“FINRA”) as a broker-dealer engaged in the offer and sale of securities products. Our Advisory Representatives may recommend the purchase of securities offered by Royal Alliance. If you purchase these products through them, they will receive normal commissions which may be in addition to customary advisory fees. As such, Advisory Representatives may have an incentive to sell you commissionable products in addition to providing you with advisory services when such commissionable products may not be suitable. Alternatively, they may have an incentive to forego providing you with advisory services when appropriate, and instead recommend the purchase of commissionable investments, if they deem that the payout for recommending the purchase of these investments would be higher than providing management advice on these products for an advisory fee. Therefore, a conflict of interest may exist between their interests and your best interests.

While our security sales are reviewed for suitability by an appointed supervisor, you should be aware of the incentives we have to sell certain securities products and are encouraged to ask us about any conflict presented.

Item 11: Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

We have adopted a Code of Ethics (the “Code”) pursuant to Rule 204A-1 of the Advisers Act to address securities-related conduct. The Code focuses primarily on fiduciary duty, personal securities transactions, insider trading, gifts, and conflicts of interest. The Code includes our policies and procedures developed to protect your interests in relation to the following topics:

- The duty at all times to place your interests first;

- The requirement that all personal securities transactions be conducted in such a manner as to be consistent with the Code and to avoid any actual or potential conflict of interest or any abuse of an employee's position of trust and responsibility;
- The fiduciary principle that information concerning the identity of your security holdings and financial circumstances are confidential; and
- The principle that independence in the investment decision-making process is paramount.

We will provide a copy of the Code to you or any prospective client upon request.

Item 12: Brokerage Practices

Our Firm does not provide investment advisory services. D'Arcangelo does not provide investment recommendations and does not recommend the type of account that you should open. We focus on providing solicitation services and presenting the advisory services offered by another firm which may include the assist in establishing your client relationship with them. As a result, we do not have the discretion to choose the broker-dealer or commission rates to be paid.

Item 13: Review of Accounts

D'Arcangelo Financial Group, LLC does not manage or review investment advisory accounts and does not have any client accounts or assets under management.

Item 14: Client Referrals and Other Compensation

Our Firm does not provide investment advisory services. We focus on providing solicitation services and presenting the advisory services offered by another firm which may include the assist in establishing your client relationship with them. The compensation paid to the Firm is for solicitation services.

We are affiliated with D'Arcangelo & Co., LLP (CPA firm), a certified public accounting firm. Some of our officers and representatives also serve as certified public accountants with the CPA firm. If a CPA firm client needs investment advisory services, the CPA firm, if requested by the client, will recommend us. Although the CPA firm will not receive referral fees from us, members of the CPA firm are entitled to receive indirect distributions relative to their interests in the CPA firm.

If you require accounting advice and/or tax preparation services, we, if requested by you, will recommend the services of the CPA firm. These services will be provided to you independent of us, as outlined in a separate agreement between you and the CPA firm. Although we will not receive a referral fee from the CPA firm, some of our members are entitled to receive distributions relative to their respective interests in the CPA firm.

Item 15: Custody

We do not maintain custody of any account assets.

Item 16: Investment Discretion

D'Arcangelo Financial Group, LLC does not manage investment advisory accounts on either a discretionary or non-discretionary basis and does not have any client assets under management.

Item 17: Voting Client Securities

D'Arcangelo Financial Group, LLC does not have any client assets under management and does not provide proxy voting of securities.

Item 18: Financial Information

D'Arcangelo Financial Group, LLC is required to provide you with certain financial information or disclosures about our financial condition. We do not have any financial commitment that impairs our ability to meet contractual commitments to our clients and we have not been the subject of any bankruptcy proceedings.

Item 19: Requirements for State-Registered Advisors

D'Arcangelo Financial Group, LLC is registered with the State of New York.

Principal Executive Officers

- Robert R. Ritz, CPA
Additional information regarding Mr. Ritz's education and business background is available on the attached ADV Part 2B Disclosure Brochure.

Performance-based Fees:

D'Arcangelo Financial Group, LLC does not offer performance-based fees and does not engage in side-by-side management.

Disciplinary Information:

There are no legal, regulatory, or disciplinary events involving D'Arcangelo Financial Group, LLC, or any of its Supervised Persons. The backgrounds of our Firm and our Advisory Persons are available on the Investment Adviser Public Disclosure website at www.adviserinfo.SEC.gov by searching with the Adviser's firm name.

Additional information on our investment advisory disciplinary history is available at:

<https://adviserinfo.sec.gov/firm/summary/149613>

Form ADV Part 2B -Brochure Supplement

Robert R. Ritz

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rritz@darcangelo-cny.com

November 23, 2021

This brochure supplement provides information about Robert R. Ritz that supplements the D’Arcangelo Financial Group, LLC., disclosure brochure. You should have received a copy of that brochure. Please contact Robert R. Ritz, Chief Compliance Officer, if you did not receive D’Arcangelo Financial Group, LLC’s brochure or if you have any questions about the contents of this supplement. Additional information about Robert R. Ritz is available on the SEC’s website at www.adviserinfo.sec.gov. Information of any disciplinary history for the advisor can be found through the Financial Industry Regulatory Authority’s (FINRA) BrokerCheck system’s website: www.finra.org/brokercheck.

In addition to being an Investment Advisory Representative (‘Advisory Representative’) referenced above, Mr. Ritz is also an Investment Advisory Representative and Registered Representative (RR) of the Advisor Group Broker Dealer at Royal Alliance Associates. The Advisor Group Broker Dealer is a dually registered Broker Dealer/Investment Adviser where securities and investment advisory services are offered through Advisor Group Broker Dealer, member FINRA/SIPC.

Item 2: Educational Background and Business Experience

Robert R. Ritz, CPA
Born 1968

Education:

- SUNY Upstate, Bachelor of Science Accounting, 1991

Business Experience:

- D'Arcangelo & Co. LLP, Partner, 1994 – Present
- D'Arcangelo Financial Group, LLC, Investment Advisor Representative, 2009 – Present
- Royal Alliance Associates, Inc., Registered Representative and Investment Advisory Representative, 2009 – Present

Professional Licenses/Registrations/Designations

- Series 6, 63 and 65 registered.

Item 3: Disciplinary Information

There are no material disciplinary events to report.

Item 4: Other Business Activities

In addition to being an Investment Advisory Representative ('Advisory Representative') of D'Arcangelo Financial Group, LLC, Mr. Ritz is also affiliated with D'Arcangelo & Co., LLP (CPA firm), a certified public accounting firm and serves as certified public accountant and Partner with the CPA firm.

Mr. Ritz is also an Investment Advisory Representative and Registered Representative (RR) of the Advisor Group Broker Dealer at Royal Alliance Associates. As such, your advisor may recommend the purchase of securities from Royal Alliance Associates. If you purchase securities from Royal Alliance Associates, your advisor will receive commissions on the sale of investment products and in certain instances receive ongoing 12b-1 fees, in addition to the receipt of advisory fees for advisory services such as financial planning services.

Item 5: Additional Compensation

Mr. Ritz, as a CPA and Partner of the CPA firm D'Arcangelo & Co., LLP, is entitled to receive indirect distributions relative to his interests in the CPA firm.

Item 6: Supervision

Robert R. Ritz, Chief Compliance Officer, monitors the Firm's activities, personal investing activities, and adherence to the D'Arcangelo Financial Group, LLC's compliance / code of ethics program for all firm employees on a continuous basis. Mr. Ritz may be reached at 315-336-9220.

Item 7: Requirements for State-Registered Advisers

Robert R. Ritz has not been the subject of or involved in any arbitration claims, has not been found liable in a civil, self-regulatory organization or administrative proceeding and has not been the subject of any bankruptcy petitions.