

Shannon T. Pitner and Company
dba Nautilus Wealth Advisors
Form ADV Part 2A
Investment Adviser Brochure

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IARD/CRD Number: 311853

November 19, 2021

This Brochure provides information about the qualifications and business practices of Nautilus Wealth Advisors (“we”, “us”, “our”). If you have any questions about the contents of this Brochure, please contact Shannon T. Pitner, Founder, Chief Executive Officer, and Chief Compliance Officer, at (321) 724-1888 or Shannon.Pitner@NautilusWealthAdvisors.com.

Additional information about our Firm is also available on the SEC’s website at <http://www.adviserinfo.sec.gov/311853>. The information in this Brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

We are a registered investment adviser. Please note that use of the term “registered investment advisor” and a description of the Firm and/or our employees as “registered” does not imply a certain level of skill or training. For more information on the qualifications of the Firm and our employees who advise you, we encourage you to review this Brochure and the Brochure Supplement(s).

Item 2: Summary of Material Changes

There have been no material changes since the June 14, 2021 Form ADV Part 2 and 2b filed on the IARD system.

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Item 4: Advisory Business

Firm Information

This Disclosure Brochure ("Form ADV Part 2") provides information regarding the qualifications, business practices, and the advisory services provided by Nautilus Wealth Advisor's (the "Firm", "we", "us", or "our"). We are solely owned by Shannon T. Pitner, Founder, Chief Executive Officer, and Chief Compliance Officer.

We provide investment advisory services to individuals, pension and profit-sharing plans, trusts, and estates. Our investment advisory services include investment management, financial planning, and selection of other advisors.

As part of our services, we recommend certain professionals (e.g., attorneys, accountants, insurance agents, real estate agents, mortgage brokers, etc.) to assist with the implementation of recommended strategies. Conflicts of interest, if present, will be disclosed to our client.

Types of Advisory Services

Financial Planning

We offer financial planning services, which includes a review of all aspects of a client's current financial situation, including the following components: cash management, risk management, insurance, education funding, goal setting, retirement planning, estate and charitable giving planning, tax planning, and capital needs planning. Clients understand that when we are engaged to address only certain components, the client's overall financial and investment issues may not be taken into consideration.

We meet with the client to review risk tolerance, financial goals and objectives, and time horizons. Additional meetings include a review of additional financial information; sources of income, assets owned, existing insurance, liabilities, wills, trusts, business agreements, tax returns, investments, and personal and family obligations.

The financial plan includes both long and short-term considerations, depending upon the individual scenario. Upon completion a plan is presented to the client and the client is provided with recommendations that are deemed to be compatible with the client's stated goals and objectives. An implementation schedule is reviewed with the client to determine which steps will be pursued, and with whom the steps will be accomplished. The client is under no obligation to utilize the Firm to implement the advice or plan. Clients choose all or certain components of advice and recommendations and can implement the recommendations through the service providers of their choice.

Wealth Management Services

We will typically provide a variety of wealth management services to individuals and families, in several areas of a client's financial situation, depending on their goals, objectives, and resources.

In Wealth Management engagements, we provide ongoing financial planning services as described above and we provide customized investment management solutions for our clients. We work with each client to identify their investment goals and objectives as well as risk

tolerance and financial situation in order to create a portfolio allocation. We will then construct a portfolio consisting of exchange traded funds (“ETFs”), mutual funds, individual stocks and bonds, or other securities.

Retirement Plan Advisory Services

We provide advisory services to retirement plans (each a “Plan”) and the company/sponsor of the Plan (the “Plan Sponsor”). Our retirement plan advisory services are designed to assist the Plan Sponsor in meeting its fiduciary obligations to the Plan and its Plan Participants. Each engagement is customized to the needs of the Plan and Plan Sponsor.

Tailored Relationships

We tailor investment advisory services to the individual needs of the client. Our clients are allowed to impose restrictions on the investments in their account. All limitations and restrictions placed on accounts must be presented to us in writing.

Wrap Fee Programs

We typically recommend several “Wrap Fee” Program(s)” sponsored by broker-dealers. A Wrap Fee Program provides the client with advisory and brokerage execution services for an all-inclusive fee. The client is not charged separate fees for the respective components of the total service.

In a Wrap Fee Program, you give us the discretion to select other investment adviser(s) who then manage the portfolio(s) using stocks, bonds, mutual funds and exchange traded funds. We receive a portion of the total wrap fee for our investment management services.

The only significant difference between how we manage wrap fee accounts versus other accounts is that wrap fee account trading is executed through a directed broker.

In evaluating Wrap Fee Programs, you should consider that, depending upon the level of the wrap fee charged, the amount of portfolio activity in your account, the broker-dealer's usual commission rates and other factors. The Wrap Fee could be more or less than the aggregate cost of such services if they were provided separately and if we were to negotiate commissions and seek best price and execution of transactions for your account. For further information about the investment advisor(s) we recommend, refer to their specific Wrap Fee Program Brochure (Form ADV Brochure, Appendix I).

Fiduciary Statement

Both we and our employees are fiduciaries who must take into consideration the best interests of the Firm’s clients. We will act with competence, dignity, integrity, and in an ethical manner, when dealing with clients. We will use reasonable care and exercise independent professional judgement when conducting investment analysis, making investment recommendations, trading, promoting our services, and engaging in other professional activities.

As a fiduciary, we have the obligation to deal fairly with its clients. We have the following responsibilities when working with a client:

- To render impartial advice;

- To make appropriate recommendations based on the client's needs, financial circumstances and investment objectives;
- To exercise a high degree of care and diligence to ensure that information is presented in an accurate manner and not in a way to mislead;
- To have reasonable basis, information, and understanding of the facts in order to provide appropriate recommendations and representations;
- Disclose any material conflict of interest in writing; and
- Treat clients fairly and equitably.

Assets Under Management

As of June 14, 2021, we have \$126,767,930 of discretionary assets under management.

Item 5: Fees and Compensation

We base fees on a percentage of assets under management and fixed fees.

Compensation – Financial Planning

Financial Planning fees will be charged as follows:

Initial Planning Fee	Assets Under Management
\$500	< \$500,000
\$800	\$500,000 - \$1,000,000
\$1,000	> \$1,000,000

All financial planning fees are due in advance. In no cases, will more than \$1,200 be collected from the client more than 6 months in advance.

Investment Advisory Services

These Investment Advisory services generally include using a model portfolio of mutual funds typically provided through Raymond James' Freedom account program. These services are provided using the following annual fee schedule:

Total Fee-Based Relationship Value	Annual Fee
Up to \$500,000	1.20%
\$500,000 up to \$4,999,999	1.20%
\$5,000,000 up to \$9,999,999	0.95%
\$10,000,000 and up	0.70%

The asset-based fee shall be prorated and paid quarterly in advance. Fees are based on the market value of the total assets in the client relationship, including cash, on the last day of the previous quarter as valued by the Custodian.

Raymond James Consulting Services (RJCS) – Independent Managers

These Investment Advisory services through RJCS include the use of independent managers to customize their advice to each individual client and typically include using equity securities in the portfolio.

These services using RJCS are provided using the following annual fee schedule:

Total Fee-Based Relationship Value	Annual Fee
Up to \$500,000	2.75%
\$500,000 up to \$4,999,999	1.60%
\$5,000,000 up to \$9,999,999	1.35%
\$10,000,000 and up	1.05%

The asset-based fee shall be prorated and paid quarterly in advance. Fees are based on the market value of the total assets in the client relationship, including cash, on the last day of the previous quarter as valued by the Custodian.

The Investment Advisory services and the Investment Advisory services through RJCS are each billed separately, and we do not household those accounts.

Retirement Plan Services Fees

We charge an annualized fee of up to 0.70% of the plan's assets for the pension consulting services described above. Generally, a fixed fee will not exceed 1.00% of the plan's assets unless there are special circumstances warranting a higher fee. The type and amount of the fees charged to the client are negotiable and are generally based on the size and complexity of the plan, the number of plan participants, the location of the participants, the estimated number of meetings required, and other factors that are deemed relevant by the Firm when negotiating with the client. An estimate of the total cost will be determined at the start of the advisory engagement. Fees for pension consulting services are generally payable quarterly in advance.

Calculation and Payment

The specific manner in which we charge fees is established in your written agreement with us. You authorize us to directly debit fees from client accounts.

Management fees shall be prorated for capital contributions and withdrawals over \$100,000 made during the applicable calendar quarter.

Our clients pay fees in advance; accounts initiated during a calendar quarter will be charged a prorated fee. Upon termination of any account, any prepaid, unearned fees will be promptly refunded.

General Information on Compensation and Other Fees

In certain circumstances, fees, account minimums and payment terms are negotiable depending on client's unique situation – such as the size of the aggregate related party portfolio size, family holdings, low cost basis securities, or certain passively advised investments and pre-existing relationships with clients. Certain clients could be paying more or less than others depending on the amount of assets, type of portfolio, or the time involved, the degree of responsibility assumed, complexity of the engagement, special skills needed to solve problems, the application of experience and knowledge of the client's situation.

Our fees are exclusive of brokerage commissions, transaction fees, and other related costs and expenses which shall be incurred by the client. Clients incur certain charges imposed by

custodians, brokers, third party investment and other third parties such as fees charged by managers, custodial fees, deferred sales charges, odd-lot differentials, transfer taxes, wire transfer and electronic fund fees, and other fees and taxes on brokerage accounts and securities transactions. Mutual funds and exchange traded funds also charge internal management fees, which are disclosed in a fund's prospectus.

Such charges, fees and commissions are exclusive of and in addition to our fee, and our shall not receive any portion of these commissions, fees, and costs.

All fees paid to us for investment advisory services are separate and distinct from the fees and expenses charged by mutual funds to their shareholders. These fees and expenses are described in each fund's prospectus. These fees will generally include a management fee, other expenses, and a possible distribution fee. If the fund also imposes sales charges, a client pays an initial or deferred sales charge.

A client could invest in a mutual fund directly, without the services of Nautilus Wealth Advisors. In that case, the client would not receive the services provided by our which are designed, among other things, to assist the client in determining which mutual funds are most appropriate to each client's financial condition and objectives. Accordingly, the client should review both the fees charged by the funds and the fees charged by our Firm to fully understand the total amount of fees to be paid by the client and to thereby evaluate the advisory services being provided.

Clients should note that similar advisory services could be available from other registered investment advisers for similar or lower fees.

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

"Performance-based fees" are fees based on the capital gains or capital appreciation in an account. We do not charge performance-based fees. "Side-by-side management" refers to the practice of managing both accounts that are charged a performance-based fee and accounts that are charged other types of fees, such as asset-based fees and hourly fees. Because we do not charge performance-based fees, we do not engage in side-by-side management

Item 7: Types of Clients

Types of Clients

We provide services to individuals, pension and profit-sharing plans, trusts, and estates.

Account Minimums

We do not have a minimum account size.

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

Methods of Analysis

We use the following methods of analysis in formulating our investment advice and/or managing client assets:

Fundamental Analysis, which attempts to measure the intrinsic value of a security by looking at economic and financial factors (including the overall economy, industry conditions, and the financial condition and management of the company itself) to determine if the company is underpriced (indicating it could be a good time to buy) or overpriced (indicating it could be time to sell).

Fundamental analysis does not attempt to anticipate market movements. This presents a potential risk, as the price of a security can move up or down along with the overall market regardless of the economic and financial factors considered in evaluating the stock.

Technical Analysis, which analyzes past market movements and apply that analysis to the present in an attempt to recognize recurring patterns of investor behavior and potentially predict future price movement.

Technical analysis does not consider the underlying financial condition of a company. This presents a risk in that a poorly managed or financially unsound company could underperform regardless of market movement.

Investment Strategies

The investment strategy for a specific client is based upon the objectives stated by the client during consultations and the client can change these objectives at any time. Other strategies include long-term purchases, short-term purchases, trading, short sales, margin transactions, and option writing (including covered options, uncovered options or spreading strategies).

We reserve the right to advise clients on any other type of investment that it deems appropriate based on the client's stated goals and objectives. We also provide advice on any type of investment held in a client's portfolio at the inception of the advisory relationship or on any investment on which the client requests advice.

Risk of Loss

Investing in securities involves risk of loss that clients should be prepared to bear.

All investments involve the risk of loss, including (among other things) loss of principal, a reduction in earnings (including interest, dividends and other distributions), and the loss of future earnings. Although we manage assets in a manner consistent with your investment objectives and risk tolerance, there can be no guarantee that our efforts will be successful. You should be prepared to bear the following risks of loss:

- **Interest-rate Risk:** Fluctuations in interest rates may cause investment prices to fluctuate. For example, when interest rates rise, yields on existing bonds become less attractive, causing their market values to decline.
- **Market Risk:** The price of a security, bond, or mutual fund may drop in reaction to tangible and intangible events and conditions. This type of risk is caused by external factors independent of a security's particular underlying circumstances. For example, political, economic and social conditions may trigger market events.
- **Inflation Risk:** When any type of inflation is present, a dollar next year will not buy as

much as a dollar today, because purchasing power is eroding at the rate of inflation.

- **Currency Risk:** Overseas investments are subject to fluctuations in the value of the dollar against the currency of the investment's originating country. This is also referred to as exchange rate risk.
- **Reinvestment Risk:** This is the risk that future proceeds from investments may have to be reinvested at a potentially lower rate of return (i.e. interest rate). This primarily relates to fixed income securities.
- **Business Risk:** These risks are associated with a particular industry or a particular company within an industry. For example, oil-drilling companies depend on finding oil and then refining it, a lengthy process, before they can generate a profit. They carry a higher risk of profitability than an electric company, which generates its income from a steady stream of customers who buy electricity no matter what the economic environment is like.
- **Liquidity Risk:** Liquidity is the ability to readily convert an investment into cash. Generally, assets are more liquid if many traders are interested in a standardized product. For example, Treasury Bills are highly liquid, while real estate properties (i.e. Non-traded REITs and other alternative investments) are not.
- **Financial Risk:** Excessive borrowing to finance a business' operations increases the risk of profitability, because the company must meet the terms of its obligations in good times and bad. During periods of financial stress, the inability to meet loan obligations may result in bankruptcy and/or a declining market value.
- **Cybersecurity Risk:** A breach in cybersecurity refers to both intentional and unintentional events that may cause a Firm to lose proprietary information, suffer data corruption, or lose operational capacity. This, in turn, could cause the Firm to incur regulatory penalties, reputational damage, and additional compliance costs associated with corrective measures, and/or financial loss.
- **Pandemic Risk:** Large-scale outbreaks of infectious disease can greatly increase morbidity and mortality over a wide geographic area, crossing international boundaries, and causing significant economic, social, and political disruption.

Each client should review the mutual fund prospectus for the specific risks related to each fund that is held in the client's account.

Item 9: Disciplinary Information

There have never been any legal, regulatory or disciplinary actions against the Firm or our management persons.

Item 10: Other Financial Industry Activities and Affiliations

Financial Industry Activities

We are not registered as a broker-dealer, and none of our management persons are registered representatives of a broker-dealer. We are not registered and do not have an application pending as a securities broker-dealer, futures commission merchant, commodity pool operator or commodity trading advisor.

We select other investment advisors for our clients. We do not receive any compensation for the selection of other managers.

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

We have adopted a Code of Ethics, the full text of which is available to clients upon request. We have several goals in adopting this Code. First, we desire to comply with all applicable laws and regulations governing its practice, and the management of our Firm has determined to set forth guidelines for professional standards, under which all associated persons of the Firm are to conduct themselves. We have set high standards, the intention of which is to protect client interests at all times and to demonstrate its commitment to its fiduciary duties of honesty, good faith and fair dealing with Clients. All associated persons are expected to adhere strictly to these guidelines, as well as the procedures for approval and reporting established in the Code of Ethics primarily related to personal securities transactions, and violations of the Code. In addition, we maintain and enforce written policies reasonably designed to prevent the misuse of material non-public information by the Firm or any person associated with us. Please contact our Chief Compliance Officer at 321-724-1888 to obtain a complete copy of our Code of Ethics.

Item 12: Brokerage Practices

Research and Other Soft Dollar Benefits

We do not receive formal soft dollar benefits other than execution from broker/dealers in connection with client securities transactions. See disclosure below in “Brokerage – Other Economic Benefits”.

Brokerage for Client Referrals

We do not receive client referrals from broker/dealers.

Directed Brokerage

While not routine, the client is allowed to direct us to use a particular broker-dealer to execute some or all transactions for the client. This brokerage direction must be requested by the client in writing. In that case, the client will negotiate terms and arrangements for the account with that broker-dealer, and we will not seek better execution services or prices from other broker-dealers or be able to “batch” client transactions for execution through other broker-dealers with orders for other accounts managed by us. By directing brokerage, the client could pay higher commissions or other transaction costs or greater spreads, or receive less favorable net prices, on transactions for the account than would otherwise be the case. Not all advisers require or allow their clients to direct brokerage. Subject to our duty of best execution, we could decline a client’s request to direct brokerage if, in our sole discretion, such directed brokerage arrangements would result in additional operational difficulties.

If the client requests us to arrange for the execution of securities brokerage transactions for the client’s account, we shall direct such transactions through broker-dealers that we reasonably believe will provide best execution. We shall periodically and systematically review its policies and procedures regarding recommending broker-dealers to its client in light of its duty to obtain best execution.

Directed Brokerage – Wrap Fee Programs

As disclosed in Item 4, some clients participate in wrap fee programs. In evaluating a wrap-fee program, a client should recognize that brokerage commissions for the execution of transactions in their account are not negotiated. Transactions are effected net, i.e., without commission and a portion of the wrap fee is generally considered to be in lieu of commissions. Trades are generally expected to be executed only with the broker dealer with which the client has entered into the wrap fee arrangement.

We may not, therefore, be free to seek best price and execution by placing transactions with other broker dealers. Our experience indicates that certain broker dealers under clients' wrap fee agreements generally offer best price for transactions in listed equity securities, but no assurance can be given that such will continue to be the case with those or other broker dealers which offer wrap fee arrangements, nor with respect to transactions in other types of securities. The client should ensure that the broker dealer offering the wrap-fee arrangement can provide adequate price and execution of most or all transactions. The client should also consider that depending on the wrap-fee charged by the broker dealer, the amount of portfolio activity in the client's account, the value of custodial and other services which are provided under the arrangement, and other factors, the wrap-fee could exceed the aggregate cost of such services were they to be provided separately and if the firm were free to negotiate commissions and seek best price and execution of transactions for the client's account.

Brokerage - Other Economic Benefits

We do receive some traditional "non-cash benefits" from broker/dealers such as customized statements; receipt of duplicate client confirmations and bundled duplicate statements; access to a trading desk servicing advisors exclusively; access to block trading which provides the ability to aggregate securities transactions and then allocate the appropriate shares to client portfolios; ability to have investment advisory fees deducted directly from client portfolios; access to an electronic communication network for client order entry and portfolio information; access to mutual funds which generally require significantly high minimum initial investments or those that are otherwise only generally available to institutional investors; reporting features; receipt of industry communications; and perhaps discounts on business-related products.

Broker/dealers provide general access to research and perhaps discounts on research products; however, we currently do not access any research or research products. Any research received is used for the benefit of all clients. We have no written or verbal arrangements whereby we receive soft dollars. While we endeavor at all times to put the interest of the clients first as part of its fiduciary duty, clients should be aware that the receipt of any additional compensation itself creates a conflict of interest and may affect the judgment of these individuals when making recommendations.

Trade Aggregation

We do not aggregate or block trades. Trade aggregation is the act of trading a large block of a security in a single order. Shares of a purchased security are then allocated to the appropriate accounts in the appropriate proportion. The main purposes of order aggregation are (i) for ease of trading and (ii) to obtain a lower transaction cost associated with trading a larger quantity.

As a result, clients purchasing securities around the same time could receive a less favorable price than other clients. In addition, not aggregating trades could result in higher transaction costs, as a client will not benefit from lower transaction cost which might be achieved if the trade was aggregated.

Item 13: Review of Accounts

Reviews

Accounts are reviewed by Shannon T. Pitner, Founder, Chief Executive Officer, and Chief Compliance Officer. The client review includes comparing the portfolio and current security positions with the goals and objectives as outlined by the investment policy statement, reviewing changes to the client's investment circumstances, evaluating the specific holdings, re-balancing the portfolio and communicating the current status of the portfolio and any recommended actions to the client.

Review Triggers

Other conditions that trigger a review are changes in market, political or economic conditions, tax laws, new investment information, and changes in a client's own situation.

Reporting

At least quarterly, the custodian provides clients with an account statement for each client account, which includes individual holdings, cost basis information, deposits and withdrawals, accrued income, dividends, and performance.

Financial Planning – Reviews and Reporting

The initial financial plan is included as a component of the financial planning service, available online. Clients receive updated financial plans for a separate fee.

Item 14: Client Referrals and Other Compensation

Other Compensation

We do not receive any economic benefits (other than normal compensation and benefits described in Item 12) from any firm or individual for providing investment advice.

Compensation – Client Referrals

We do not make or accept referral fees or any form of remuneration from other professionals when a prospect or client is referred to them.

Item 15: Custody

Custody – Fee Debiting

Clients authorize us in the client agreement to debit fees directly from their account at the broker dealer, bank or other qualified custodian ("custodian"). The custodian is advised in writing of the limitation of our access to the account. The custodian sends a statement to the client, at least quarterly, indicating all amounts disbursed from the account including the amount of advisory fees paid directly to the Firm.

Custody – First Party Money Transfers

Clients provide us with written ongoing authorization to wire money between the client's accounts held with the custodian directly to an outside financial institution (i.e. a client's bank account). A copy of this authorization is provided to the custodian. The authorization includes the client's account number(s) at the outside financial institution(s) as required.

Custody – Third Party Money Transfers

Clients could provide us with a standing letter of authorization or similar asset transfer authorization which allows us to disburse funds on behalf of clients to third parties. We currently do not have any third party standing letters of authorization in place. We will ensure the following conditions are in place if we were to implement this practice:

1. The client provides a Written Authorization to the custodian that includes all appropriate information as to how the transfer should be directed;
2. The Written Authorization includes instruction to direct transfers to the third party either on a specified schedule or from time to time;
3. Appropriate verification is performed by the custodian, along with a transfer of funds notice to the client promptly after each transfer;
4. The client may terminate or change the instruction to the custodian;
5. We have no authority or ability to designate or change any information about the third party contained in the instruction;
6. We maintain records showing that the third party is not a related party of the Firm or located at the same address as the Firm; and
7. The custodian sends the client a written initial notice confirming the instruction and an annual written confirmation thereafter.

Custody – Account Statements

Clients receive at least quarterly statements from the custodian that holds and maintains client's investment assets. Clients are urged to carefully review such statements and compare such official custodial records to the reports that we provide. Our reports could vary from custodial statements based on accounting procedures, reporting dates, or valuation methodologies of certain securities.

Item 16: Investment Discretion

We accept limited power of attorney to act on a discretionary basis on behalf of clients. A limited power of attorney allows us to execute trades on behalf of clients. When such limited powers exist between the Firm and the client, we have the authority to determine, without obtaining specific client consent, both the amount and type of securities to be bought to satisfy client account objectives. If we have not been given discretionary authority, we consult with the client prior to each trade.

Item 17: Voting Client Securities

Proxy Voting

We do not have any authority to, nor do we vote proxies on behalf of clients. Clients retain the responsibility for receiving and voting proxies for securities maintained in their portfolios;

clients receive these proxies directly from either custodians or transfer agents. If requested, we provide advice to clients regarding proxy votes. If any conflict of interest exists, it will be disclosed to the client. Clients may contact us at (321) 609-1110 for information about proxy voting.

Item 18: Financial Information

We have no financial commitments that impair our ability to meet contractual and fiduciary commitments to clients and we have not been the subject of a bankruptcy proceeding. We do not require prepayment of fees of both more than \$1,200 per client, and more than six months in advance; and therefore, we not required to provide a balance sheet to clients.

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Supervisor and Supervised Person: Shannon Truse Pitner
CRD Number: 1002126

November 19, 2021

This Brochure Supplement provides information about the Firm's ("we", "us", "our") employees that supplements our Brochure. You should have received a copy that Brochure. Please contact Shannon T. Pitner, Founder, Chief Executive Officer, and Chief Compliance Officer, at (321) 724-1888 or Shannon.Pitner@NautilusWealthAdvisors.com if you did not receive our Brochure or if you have any questions about the contents of this Supplement.

Additional information about our employee(s) referenced above is also available on the SEC's website at www.adviserinfo.sec.gov. You may search this site using a unique identifying number, known as a CRD number for each employee.

Item 2: Educational Background and Business Experience

Education and Business Background

Shannon T. Pitner

Born 1953

CRD #: 1002126

Formal Education after High School:

Hood College, Frederick, MD, May 1980 - September 1980, no degree

Montgomery County Community College, Blue Bell, PA, August 1978 - December 1978, no degree

Universidad de las Americanas, Pueblo, Mexico, September 1975 - July 1976, no degree

Westbury College, Westbury, Long Island, NY, December 1974 - August 1975, no degree

Columbus College, Seville, Spain, September 1973 - August 1974, no degree

University de Seville, Spain, Seville, Spain, September 1973 - August 1974, no degree

University of Tennessee at Chattanooga, Chattanooga, TN, September 1971 – June 1972, no degree

University of Georgia, Athens, GA, June 1971 – August 1971, no degree

She has passed the Municipal Fund Securities Principal Examination Series 51 (06/2003), General Securities Principal Examination Series 24 (05/1992), Securities Industry Essentials Examinations SIE (10/2018), General Securities Representative Examination Series 7 (07/1981), Uniform Securities Agent State Law Examination Series 63 (07/1981).

She earned the Certified Financial Planner (CFP®) from the Certified Financial Planner Board of Standards, June 1984

In order to achieve and maintain certification, CFP® professionals must: 1) pass the comprehensive CFP® Certification Examination, 2) pass the CFP Board's Fitness Standards for Candidates and Registrants, 3) agree to abide by CFP Board's Code of Ethics and Professional Responsibility and Rules of Conduct which put clients' interests first, 4) comply with the Financial Planning Practice Standards which spell out what clients should be able to reasonably expect from the financial planning engagement, and 5) complete 30 hours of continuing education (including 2 hours of approved Ethics CE) every two years. - See more at: <http://www.cfp.net/become-a-cfp-professional/cfp-certification-requirements#sthash.gwXJz3yF.dpuf>

Business Background:

Shannon T. Pitner and Company dba Nautilus Wealth Advisors, Managing Member, Chief Compliance Officer, and Investment Adviser Representative, 02/2021 to Present

Shannon T. Pitner and Company, Managing Member, 12/1992 to Present

Nautilus Wealth Advisors dba began 10/2018

Various Carriers, Insurance Agent, 07/1981 to Present

Raymond James Financial Services, Inc., Financial Advisor, 02/1990 to 06/2021

Raymond James Financial Services Advisors, Inc., Investment Adviser Representative, 01/2009 to 06/2021

Item 3: Disciplinary Information

Neither we nor any of the nor any employees named in this Form ADV Part 2B have been

involved in any activities resulting in a disciplinary disclosure.

Item 4: Other Business Activities

Shannon T. Pitner is a licensed insurance agent through numerous insurance companies. In such a capacity, she offers insurance products and receive normal and customary commissions as a result of such a purchase. This presents a conflict of interest to the extent that she recommends the purchase of an insurance product, which results in a commission being paid to her as an insurance agent.

Item 5: Additional Compensation

No Supervised Person receives any economic benefit outside of regular salaries or bonuses related to amount of sales, client referrals or new accounts.

Item 6: Supervision

Shannon T. Pitner, Founder, Chief Executive Officer, and Chief Compliance Officer, is responsible for supervising our advisory activities and managing our employees. She supervises employees by holding regular meetings, which include staff, investment, compliance and other ad hoc meetings. She reviews client reports, emails, as well as personal securities transactions and holdings reports. Shannon T. Pitner, Founder, Chief Executive Officer, and Chief Compliance Officer, may be reached at (321) 724-1888.