



CRD # 313394

103 Casterly Green Ct  
Montgomery, TX 77316

Telephone (925) 457-5258

[www.alexisinvests.com](http://www.alexisinvests.com)

## DISCLOSURE BROCHURE

September 10, 2021

This brochure provides information about the qualifications and business practices of Alexis Investment Partners, LLC. If you have any questions about the contents of this brochure, please contact us at (925) 457-5258. 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.

Alexis Investment Partners, LLC is a registered with the Securities and Commission; being registered with the SEC does not imply a certain level of skill or training. Additional information about Alexis Investment Partners, LLC also is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Item 2: Material Changes

Item 1: The address of the firm changed from 199 Waterpoint Ct, Unit 204, Montgomery, Texas 77356 to 103 Casterly Green Ct, Montgomery TX, 77316.

## Contents

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

#### Item 4: Advisory Business

Alexis Investment Partners, LLC (AIP) is a Limited Liability Company organized under the laws of the state of Texas in 2020. AIP is an investment advisory firm registered with the Securities and Exchange Commission. Jason William Browne is the principal owner of AIP.

##### Personal Wealth Management

We work with individuals and families to identify their investment goals, objectives, risk tolerance, past experience and preferences. Based on the information you provide to your investment advisor representative (“IAR”), your portfolio is designed to complement your financial situation and personal circumstances and implemented on a discretionary basis. Our investment strategy involves making active adjustments to your asset allocation and underlying investments based on our assessment of current risks and opportunities. Your IAR will explain the risks associated with this approach and will assign a model and establish a portfolio benchmark based on that model which we will include on your performance reports.

AIP may purchase, sell, and/or exchange securities including, but not limited to, mutual funds, equities, options, fixed income instruments, closed-end mutual funds, exchange traded funds, and variable life and annuity subaccounts. Margin may be used as a part of this strategy. AIP uses model portfolios to guide investment decisions, but individual accounts will vary from these models for several reasons including account size, the timing of cash flows, account features, tax status and client preferences. You have the opportunity to place reasonable restrictions on the type of investments to be held in your portfolio. AIP may periodically rebalance your account to maintain the initially agreed upon strategic asset allocation and effect subsequent tactical asset allocation adjustments.

##### Investment Advisor to Retirement Plans, Institutions and Small Businesses

AIP serves as a 3(38) Fiduciary Advisor to small business 401k plans. AIP works with the sponsor company and appropriate service providers to design plan features, evaluate and select service providers, establish and monitor the fund lineup, provide model portfolios and assist with participant education.

AIP manages Personal Choice Retirement Accounts (“PCRA”) for plan participants when allowed by their company 401k plans. These PCRA accounts are individually managed as Personal Wealth Management Clients.

AIP manages SEP IRA and HSA accounts.

AIP manages charitable accounts including donor advised funds, foundations and charitable remainder trusts. Such portfolios are designed and implemented based on the cash flow needs, preferences and restrictions of each account owner, governing documents or investment committee.

AIP manages accounts for organizations including long-term investments and shorter-term working capital. Such organizations include reserve accounts for captive insurance programs, professional associations, and other similar organizations. AIP works with the appropriate board, investment committee and designated individuals to assure that the portfolio is designed and managed in a manner consistent with the organization’s objectives, governing documents, restrictions and guidelines and cash flow/liquidity needs.

AIP also acts as adviser to the Alexis Practical Tactical ETF (“ETF”, LEXI).

##### Financial Planning Services

AIP may provide both comprehensive and modular financial planning services. These services may take into consideration a broad range of financial concerns including Retirement Planning, Estate Planning, Tax Planning, College Planning, Social Security and Medicare Planning, Life and Long-term Care Insurance, Budgeting and Debt Management, and other related discussions.

Financial plans incorporate both business and personal assets and often include discussions and recommendations related to mortgages, real estate and self-directed investments.

Alexis does not sponsor or participate in any wrap fee programs.

## Needs and Restrictions

In managing your investment portfolio, we consider your: financial situation, risk tolerance, investment horizon, liquidity needs, tax considerations, investment objectives, and any other issues important to your state of affairs.

You should notify us promptly of any changes in your financial situation or investment objectives or if you wish to impose any reasonable restrictions upon the management of your account.

## Assets under Management

As of June 29, 2021, we managed approximately \$ 88,586,087 dollars in client assets on a discretionary basis. Approximately \$0 dollars in client assets were managed on a non-discretionary basis where our clients made the investment decisions based upon our recommendations.

## Item 5: Fees and Compensation

We offer our services on a fee-only basis. Fees are charged in advance. Our fee is calculated based upon the market value of the assets in your account on the last day of the previous month.

### Management Fees:

AIP charges a management fee based on a percentage of assets under management per year (annum).

Assets under Management	Annual Management Fee
\$0 to \$1,000,000	0.88%
\$1,000,001 to \$3,000,000	0.77%
\$3,000,001 to \$5,000,000	0.50%
>\$5 million	negotiated

### Management Fees for Qualified Plans:

AIP's management fees for qualified plans are individually negotiated per plan. A minimum annual fee of \$1,200 is charged per plan.

Our management fee is negotiable, at the sole discretion of AIP, taking into account the specific needs of each client. Client fees are payable monthly, in advance, based on assets under management. Minimum fees may apply.

Financial planning services may be included as a component of a personal wealth management relationship. Financial planning may also be provided for a pre-negotiated fixed fee.

Broker-dealers and other financial institutions that hold client accounts are referred to as custodians ("custodian/ broker-dealer"). Your custodian/broker-dealer determines the values of the assets in your portfolio.

Fees for the initial period are based on the value of your cash and securities on the date the custodian/broker-dealer receives them and are prorated based upon the number of calendar days in the calendar quarter that our agreement is in effect.

### General Fee Information

You must authorize us in writing to have the custodian pay us directly by charging your account. Fees are deducted monthly based upon your advisory agreement with us.

Your custodian/broker-dealer provides you with statements that show the amount paid directly to us. You should review and verify the calculation of our fees. Your custodian/broker-dealer does not verify the

accuracy of fee calculations.

In addition to our fee, you may be required to pay other charges such as: custodial fees, brokerage commissions, transaction fees, SEC fees, internal fees and expenses charged by mutual funds or exchange traded funds (“ETFs”), and other fees and taxes on brokerage accounts and securities transactions.

Mutual fund companies, ETFs, and variable annuity issuers charge internal fees and expenses for their products. These fees and expenses are in addition to any advisory fees charged by us. Complete details of these internal fees and expenses are explained in the prospectus for each investment. You are strongly encouraged to read these explanations before investing any money. You may ask us any questions you have about fees and expenses.

If you purchase mutual funds through the custodian/broker-dealer, you may pay a transaction fee that would not be charged if the transactions were made directly through the mutual fund company. Also, mutual funds held in accounts at brokerage firms may pay internal fees that are different from funds held at the mutual fund company.

While you may purchase shares of mutual funds directly from the mutual fund company without a transaction fee, those investments would not be part of our advisory relationship with you. This means that they would not be included in our investment strategies, investment performance monitoring, or portfolio reallocations.

Please be sure to read the section entitled “Brokerage Practices,” which follows later in this brochure.

Advisory fees are charged in advance on a monthly basis. Should you terminate the advisory agreement we have entered into within five (5) business days from the date the agreement is executed, you will receive a full refund of any fees paid.

Should either one of us terminate the advisory agreement we have entered into before the end of a billing period, any unearned fees that were deducted from your account will be returned to you by us. The amount refunded to you is calculated by dividing the most recent advisory fee you paid by the total number of days in the month. This daily fee is then multiplied by the number of calendar days in the quarter that our agreement was in effect. This amount, which equals the amount we earned for the partial month, is subtracted from the total fee you paid in advance to determine your refund.

Our IARs are also licensed with various insurance companies. Commissions may be earned by our IARs if insurance products are purchased through these insurance companies.

The above arrangements present a conflict of interest because they create an incentive to make recommendations based upon the amount of compensation we receive, rather than based upon your needs. We will explain, in advance, the specific costs and compensation associated with any recommended insurance products.. Additionally, you always have the option to purchase insurance products through other agents who are not affiliated with us.

#### Other Fees

AIP may invest client assets in the ETF managed by AIP, if such investments are consistent with the investment objectives and policies of the client accounts involved. If AIP makes such an investment on behalf of its clients, those clients will be responsible, indirectly as investors in the ETF, for a portion of the operating expenses and investment advisory fees. No separate management fee is charged by AIP on the portion of a client’s account that is invested in the Alexis Practical Tactical ETF for which AIP serves as the adviser.

#### **Item 6: Performance-Based Fees**

Performance-based fees are designed to give a portion of the returns of an investment to the investment adviser as a reward for positive performance. The fee is generally a percentage of the profits made on the investments. We do not charge performance-based fees on any of our client accounts.

#### **Item 7: Types of Clients**

We provide advisory services primarily to individuals and to high networth individuals, including their trusts, estates and retirement accounts. We also provide services to corporations or business entities including their pension and profit sharing plans.

The account minimum for the Alexis Managed Account Program is \$500,000. We may accept clients with smaller portfolios based upon certain factors including anticipated future earning capacity, anticipated future additional assets, account composition, related accounts, and pre-existing client relationships. We may consider the portfolios of your family members to determine if your portfolio meets the minimum size requirement. Minimum account size may be waived by AIP solely at its discretion.

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

We select specific investments for your portfolios through the use of fundamental, cyclical, and technical analysis, as well as charting.

Fundamental analysis is a method of evaluating a company that has issued a security by attempting to measure the value of its underlying assets. It entails studying overall economic and industry conditions as well as the financial condition and the quality of the company's management. Earnings, expenses, assets, and liabilities are all important in determining the value of a company. The value is then compared to the current price of the issuing company's security to determine whether to purchase, sell or hold the security.

Cyclical analysis is a form of fundamental analysis that involves the process of making investment decisions based on the different stages of an industry at a given point in time.

Technical analysis is a method of evaluating securities by analyzing statistics generated by market activity, such as past prices and volume. Technical analysts do not attempt to measure a security's intrinsic value, but instead use charts and other tools to identify patterns that can suggest future activity.

Charting involves identifying patterns that can suggest future activity in price movements. A chart pattern is a distinct formation on a stock chart that creates a trading signal or a sign of future price movements. Chartists use these patterns to identify current trends and trend reversals to trigger buy and sell signals. Some of the chart types are Line Charts, Bar Charts, Candlestick, Point and Figure, etc.

Our investment strategies may include long-term and short-term purchases and sales, trading (securities sold within 30 days) and the use of options, margin, and short sales. You may place reasonable restrictions on the strategies to be employed in your portfolio and the types of investments to be held in your portfolio.

All investments involve risks that can result in: loss of principal, a reduction in earnings (including interest, dividends and other distributions), and the loss of future earnings.

Additionally, these risks may include: market risk, interest rate risk, issuer risk, and general economic risk.

Although we manage your portfolio in a manner consistent with your risk tolerances, we cannot guarantee that our efforts will be successful. You should be prepared to bear the risk of loss.

Frequent trading can affect portfolio performance, particularly through increased brokerage and other transaction costs (if applicable) and taxes. Infrequent trading can affect portfolio performance, particularly through ongoing fees and other costs (if applicable) that may cost more than trading commissions. Additionally, you should be aware that the use of margin, options and short sales are higher risk strategies. It is possible to lose all of the principal you invest, and sometimes more. In a cash account, your risk is limited to the amount of money that you have invested. In a margin account, your risk includes the amount of money invested plus the amount that has been loaned to you. When you short sell, your losses can be infinite.

#### Risks Associated with Particular Investments

Described below are some risks associated with specific types of investments that an investment adviser representative may recommend. Many of these investments are usually sold by use of a prospectus or other offering document. Clients should review those documents carefully for more detailed information regarding risk.

#### Mutual Funds

A mutual fund is a company organized to aggregate the funds of individuals investors into a pool that invest in securities such as stocks, bonds, and short-term debt. The assets of the mutual fund are known as its portfolio. Individuals investors purchase shares in the mutual fund. These shares represent the investors ownership in the mutual fund and the income or capital gains that it generates. The combined holdings of the mutual fund are known as its portfolio. Investors buy shares in mutual funds. The investor may lose

some or all of the money that they invest because the securities held by a fund can go down in value. Dividends or interest payments may also change as market conditions change. Dividends and/or interest payments may also fluctuate as market conditions fluctuate. Past performance does not guarantee future results.

#### Closed-End Funds

Closed-end funds are illiquid and may not be readily marketable. In an effort to provide investor liquidity, the funds may offer to repurchase a certain percentage of shares from time to time. Thus, clients may be unable to liquidate all or a portion of their shares in these types of funds when they desire to do so.

#### Exchange-Traded Funds (“ETFs”)

ETFs are typically investment companies that are legally classified as open end mutual funds or unit investment trusts. However, they differ from traditional mutual funds in that ETF shares are listed on a securities exchange. Shares can be bought and sold throughout the trading day like shares of other publicly-traded companies. ETF shares may trade at a discount or premium to their net asset value. This difference between the bid price and the ask price is often referred to as the “spread.” The spread varies over time based on the ETF’s trading volume and market liquidity and is generally lower if the ETF has high trading volume and high market liquidity. Conversely, the spread is generally higher if the ETF has low trading volume and low market liquidity. ETFs may be closed and liquidated at the discretion of the issuing company.

#### Exchange-Traded Notes (“ETNs”)

An ETN is a senior unsecured debt obligation designed to track the total return of a particular company, sector, market index or other benchmark. ETNs may be linked to a variety of assets, such as commodity futures, foreign currency and equities. ETNs are similar to ETFs in that they are listed on an exchange and can typically be bought or sold throughout the trading day. An ETN is not a mutual fund and does not have a net asset value. Rather, the ETN trades at the prevailing market price. Some of the more common risks of an ETN are: 1) the repayment of the principal, interest (if any) and the payment of any returns at maturity or upon redemption are dependent upon the ETN issuer’s ability to pay; or 2) the trading price of the ETN in the secondary market may be adversely impacted if the issuer’s credit rating is downgraded. The asset or asset class to which the ETN is linked may carry specific risks not associated with a particular index or sector. ETNs may be closed and liquidated at the discretion of the issuing company.

#### Options

An option is a contract that gives the buyer the right, but not the obligation, to buy or sell an underlying asset at a specific price on or before a certain date. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells their option in the secondary market nor exercises it prior to its expiration will necessarily lose their entire investment in the option. An option writer may be assigned an exercise at any time during the period the option is exercisable. Starting with the day it is purchased, an American-style option is subject to being exercised by the option holder at any time until the option expires. This means that the option writer is subject to being assigned an exercise at any time after they have written the option until the option expires or until they have closed out their option position in a closing transaction. By contrast, the writer of an European-style or capped option is subject to assignment only when the option is exercisable or, in the case of a capped option, when the automatic exercise value of the underlying interest hits the cap price. For more information regarding the risks of options, please read the “Characteristics and Risks of Standardized Options” brochure, which can be found at [www.optionsclearing.com](http://www.optionsclearing.com).

#### Bonds, High-Yield Bonds and Other Debt Obligations

High-yield bonds and other debt obligations are issued by companies or municipalities that do not qualify for “investment-grade” ratings by one or more rating agencies. These bonds carry a greater risk of failure to repay both principal and interest and a greater risk of default than those obligations that are rated investment-grade. The potential deterioration of an issuer’s financial health or a downgrade in its rating will increase the risk of default. There is also the risk that the bond’s market value will decline as interest rates rise and that an investor will not be able to liquidate a bond before maturity.

#### Variable Annuities and Variable Life Insurance

A variable annuity is a life insurance contract that has an investment component. Its value can therefore



fluctuate with market conditions. Clients choose how to participate in financial markets by choosing among several “subaccounts” available within the annuity. Client should also be aware that certain riders purchased with a variable annuity may limit the investment options and the ability to manage the subaccounts.

#### Equities

Investing in individual stocks carries certain risks. Among these risks are Systematic risk - also known as market risk, this is the potential for the entire market to decline. Systematic risk cannot be diversified away. Unsystematic risk - the risk that any one stock may go down in value, independent of the stock market as a whole. Business risk is the possibility a company will have lower than anticipated profits or experience a loss rather than taking a profit. An event risk is the possibility that an unforeseen event will negatively affect a company, industry or security.

#### Item 9: Disciplinary Information

Neither Alexis Investment Partners, LLC nor its principal owner has been involved in a legal or regulatory matter that is required to be disclosed in this brochure.

#### Item 10: Other Financial Industry Activities and Affiliations

As noted in the Advisory Business section, AIP acts as adviser to the Alexis Practical Tactical ETF.

As explained under “Fees and Conditions” above, our IARs are licensed as insurance agents with various insurance companies. These arrangements present a conflict of interest because they create an incentive to make recommendations for the purchase or sale of insurance policies based upon the amount of compensation your IAR can receive rather than based upon your needs. As previously noted, we will explain the specific costs associated with any recommended insurance products with you. You have the option to purchase insurance products through other brokers or agents who are not affiliated with us.

Alexis does not have an application pending to register as a broker-dealer. None of the owners nor any member of the management team is registered with a broker-dealer as a registered representative.

Alexis is not registered, nor does it have an application pending to register, as a futures commission merchant, commodity pool operator, a commodity trading advisor. None of the owners nor any member of the management team is registered with a futures commission merchant, commodity pool operator, a commodity trading advisor as a registered representative.

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

Alexis has a Code of Ethics (“Code”), the full text of which is available to you upon request. Alexis’s Code has several goals. First, the Code is designed to assist Alexis in complying with applicable laws and regulations governing its investment advisory business. The Code requires persons associated with Alexis (managers, officers and employees) to act with honesty, good faith and fair dealing in working with clients. In addition, the Code prohibits such associated persons from trading or otherwise acting on insider information.

Next, the Code sets forth guidelines for professional standards for Alexis’s associated persons. Under the Code’s Professional Standards, Alexis expects its associated persons to put the interests of its clients first, ahead of personal interests. In this regard, Alexis associated persons are not to take inappropriate advantage of their positions in relation to Alexis clients.

Third, the Code sets forth policies and procedures to monitor and review the personal trading activities of associated persons. From time to time, Alexis’s associated persons may invest in the same securities recommended to clients. Under its Code, Alexis has adopted procedures designed to reduce or eliminate conflicts of interest that this could potentially cause. The Code’s personal trading policies include procedures for limitations on personal securities transactions of associated persons, reporting and review of such trading and pre-clearance of certain types of personal trading activities. These policies are designed to discourage and prohibit personal trading that would disadvantage clients. The Code also provides for disciplinary action as appropriate for violations.

Our investment advisors and employees are permitted to buy or sell the same securities for their personal and family accounts that are bought or sold for your account(s). The personal securities transactions by investment advisor and employees may raise potential conflicts of interest when they trade in a security that is: owned by you; or considered for purchase or sale for you.

We have adopted policies and procedures that are intended to address these conflicts of interest. These policies and procedures: receive prior approval from Chief Compliance Officer (CCO) prior to the purchase/sale of any security that is included in our model portfolios; require our investment advisors and employees to act in your best interest; prohibit favoring one client over another; and review of transactions to discover and correct any same-day trades that result in an investment advisor or employee receiving a better price than a client.

Additionally, personal securities transactions by access persons are subject to the following trading restrictions:

Access persons are prohibited from acquiring any securities in an initial public offering (IPO) without first obtaining written pre-clearance from the CCO or her designee. The prior approval must take into account, among other factors, whether the investment opportunity should be reserved for clients, and whether the opportunity is being offered to an individual by virtue of their position with Alexis.

Upon receiving a request for pre-clearance, the CCO or his designee will review the intended transaction for consideration. The final decision will then be sent in writing to the access person requesting the permission for the IPO. Only upon receipt of the written approval from Alexis can the access person then engage in the purchase of the requested IPO. The access person making the request and the CCO or her designee must maintain final written approval or denial for their files.

Access persons are prohibited from acquiring any securities in a limited offering (i.e., private placement) without first obtaining written pre-clearance from the CCO or her designee. The prior approval must consider, among other factors, whether the investment opportunity should be reserved for clients, and whether the opportunity is being offered to an individual by virtue of their position with Alexis. Upon receiving a request for pre-clearance, the CCO or her designee will review the intended transaction for consideration. The final decision will then be sent in writing to the access person requesting the permission for the limited offering. Only upon receipt of the written approval from Alexis can the access person then engage in the purchase of the requested limited offering. The access person making the request and the CCO or her designee must maintain final written approval or denial for their files.

Investment advisors and employees must follow our procedures when purchasing or selling the same securities purchased or sold for you. They may participate along of clients in bunch trades.

Alexis advisors are prohibited from recommending any limited offering (i.e., private placement) in which they have a material financial interest (i.e., majority ownership, board position).

#### Item 12: Brokerage Practices

Unless directed otherwise, we generally recommend a firm as your broker-dealer and as your custodian. That firm will assist us in servicing your account.

In recommending a firm as custodian and as the securities brokerage firm responsible for executing transactions for your portfolios, we consider at a minimum the Institution's: financial strength, reputation, reporting capabilities, execution capabilities, pricing, and types and quality of research.

The determining factor in the selection of a firm to execute transactions for your accounts is not the lowest possible transaction cost, but whether the firm can provide what is in our view the best qualitative execution for your account.

A recommended firm may provide us with access to institutional trading and custody services, which includes: brokerage, custody, research, and access to mutual funds and other investments that are otherwise generally available only to institutional investors or would require a significantly higher minimum initial investment.

We are not required to place a minimum volume of transactions or maintain a minimum dollar amount of

client assets to receive these services.

The firm that we recommend does not charge separately for holding our clients' accounts, but may be compensated by you through other transaction-related fees associated with the securities transactions it executes for your accounts.

The firm may also make available to us other products and services that benefit us but may not benefit you directly. Some of these products and services assist us in managing and administering our client accounts, such as software and other technology that: provide access to account data such as: duplicate trade confirmations, bundled duplicate account statements, and access to an electronic communication network for client order entry and account information; facilitate trade execution, including: access to a trading desk serving advisory participants exclusively and access to block trading which provides the ability to combine securities transactions and then allocate the appropriate number of shares to each individual account; provide research, pricing information and other market data; facilitate payment of our fees from client accounts; and assist with back-office functions, record keeping and client reporting; and receipt of compliance publications.

The firm may also make available to us other services intended to help us manage and further develop our business. These services may include: consulting, publications and conferences on practice management, information technology, business succession, regulatory compliance, and marketing.

The firm may also make available or arrange for these types of services to be provided to us by independent third parties. The firm may discount or waive the fees it would otherwise charge for some of the services it makes available to us. It may also pay all or a part of the fees of a third party providing these services to us. Thus, we receive economic benefits as a result of our relationship with the firm, because we do not have to produce or purchase the products and services listed above.

Because the amount of our compensation or the products or services we receive may vary depending on the custodian/broker-dealer we recommend to be used by our clients, we may have a conflict of interest in making that recommendation. Our recommendation of specific custodian/broker-dealers may be based in part on the economic benefit to us and not solely on the nature, cost or quality of custody and brokerage services provided to you and our other clients. We nonetheless strive to act in your best interests at all times.

Commissions and other fees for transactions executed through the firm may be higher than commissions and other fees available if you use another custodian/broker-dealer firm to execute transactions and maintain custody of your account. We believe, however, that the overall level of services and support provided to our clients by the firm outweighs the benefit of possibly lower transactions cost which may be available under other brokerage arrangements.

You may direct us in writing to use a particular broker-dealer to execute some or all of the transactions for your account. If you do so, you are responsible for negotiating the terms and arrangements for the account with that broker-dealer. We may not be able to negotiate commissions, obtain volume discounts, or best execution. In addition, under these circumstances a difference in commission charges may exist between the commissions charged to clients who direct us to use a particular broker or dealer and other clients who do not direct us to use a particular broker or dealer.

We may engage in bunched trading, which is the purchase or sale of a security for the accounts of multiple clients in a single transaction. If a bunched trade is executed, each participating client receives a price that represents the average of the prices at which all of the transactions in a given bunch were executed. Executing a bunched trade allows transaction costs to be shared equally and on a pro rata basis among all of the participating clients. If the order is not completely filled, the securities purchased or sold are distributed among participating clients on a pro rata basis or in some other equitable manner.

Bunched trades are placed only when we reasonably believe that the combination of the transactions provides better prices for clients than had individual transactions been placed for clients. Transactions for nondiscretionary client accounts are not bunched with transactions for discretionary client accounts. Transactions for the accounts of our employees and advisory representatives may be included in bunched trades. They receive the same average price and pay the same commissions and other transaction costs, as clients. Transactions for the accounts of our advisory representatives or employees will not be favored over transactions for client accounts.

We are not obligated to include any client account in a bunched trade. Your trades will not be included in a bunched trade if doing so is prohibited or otherwise inconsistent with your investment advisory agreement. No client will be favored over any other client.

#### Item 13: Review of Accounts

Reviews are performed annually or more often upon your request. We initially review your information to determine whether a particular advisory program or investment strategy is suitable for you. We also review and update your financial status, goals and objectives on an annual basis to document continued suitability. More frequent reviews may be triggered by material changes in your individual circumstances, changes or shifts in the economy, changes in the management of mutual funds, or market shifts and corrections. Your advisory representative is responsible for reviewing your account. Certain clients, dependent upon their choice of investment program, receive quarterly reports showing the investment performance in their account.

#### Item 14: Client Referrals and Other Compensation

Alexis does not directly or indirectly compensate any person who is not a supervised person of Alexis for client referrals. Alexis does not accept an economic benefit for providing investment advice or other advisory services to our clients from any other party.

#### Item 15: Custody

You will receive statements from the custodian/broker-dealer that holds your investment account on at least a quarterly basis. You should verify that the transactions in your account are consistent with your investment goals and the objectives for your account. We also encourage you to contact your investment advisor or our CCO should you have any questions or concerns regarding your account. We will adhere to all safeguards to ensure the proper custody of your investment assets.

You must authorize us to have the custodian/broker-dealer pay us directly by charging your account. This authorization must be provided in writing. Fees are deducted monthly or quarterly in advance.

The custodian/broker-dealer provides you with statements that show the amount paid directly to us. You should review and verify the calculation of our fees. The custodian/broker-dealer does not verify the accuracy of fee calculations.

#### Item 16: Investment Discretion

We offer our advisory services on a discretionary basis. Discretionary means that we do not need advance approval from you to determine the type and amount of securities to be bought and sold or the timing of such transactions.

Additionally, we do not have the ability to withdraw funds from your account (other than to withdraw our advisory fees which, may only be done with your prior written authorization.) This discretion is used in a manner consistent with the stated investment objectives for your account. We only exercise discretion in accounts where we have been authorized by you. This authorization is typically included in the investment advisory agreement you enter into with us and account opening documents with your custodian.

#### Item 17: Voting Client Securities

We do not take any action or give any advice with respect to voting of proxies solicited by or with respect to the issuers of securities in which your accounts may be invested. In addition, we do not take any action or give any advice with respect to any securities held in any accounts that are named in or subject to class action lawsuits. We will, however, forward to you any information received by us regarding proxies and class action legal matters involving any securities held in your accounts. This may change with the ETF. I believe we will need to establish and implement proxy voting policies.

#### Item 18: Financial Information

We have no financial commitment that impairs our ability to meet contractual and fiduciary commitments to you and we have not been the subject of a bankruptcy proceeding. We do not require prepayment of more than \$1,200 in fees per client, six months or more in advance.



## **Jason Browne**

103 Casterly Green Ct  
Montgomery TX 77316  
Phone: (925) 457-5258

September 10, 2021

The Brochure Supplement provides information about Jason W. Browne that supplements the Alexis Investment Partners, LLC Brochure. You should have received a copy of the Brochure. Please contact the Chief Compliance Officer, if you did not receive Alexis Investment Partners, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Jason W. Browne (CRD#2624951) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

### Jason W. Browne

Born: 1970

#### Post-Secondary Education:

- San Francisco State, Bachelor's Degree, 1994
- St. Mary's College, Master of Business Administration, 2008
- Successfully passed the Series 65, Series 7, Series 63, Series 31 exams

#### Professional Designations:

- **Accredited Investment Fiduciary (AIF®)** - The Accredited Investment Fiduciary designation (AIF®) includes a curriculum of pertinent legislation and fiduciary best practices. Designees meet prerequisites, qualification and conduct standards, attest to a code of ethics, and fulfill continuing education requirements.
- **Chartered Financial Consultant (ChFC®)** - The Chartered Financial Consultant® (ChFC®) helps meet the advanced financial planning needs of individuals, professionals and small business owners. Key financial planning disciplines are studied, including insurance, income taxation, retirement planning, investments and estate planning. The (ChFC®) requires three years of full-time, relevant business experience, eight 2-hour course specific proctored exams, and 30 hours of continuing education every two years. Holders of the (ChFC®) designation must adhere to The American College's Code of Ethics.

#### Recent Business Experience:

- President and CCO of Alexis Investment Partners, LLC, 06/2021- Present
- Investment Advisor Representative at Sowell Management, 04/2019 - Present
- CIO and Portfolio Manager at FundX Investment Group, 06/2000 – 04/2019

## ITEM 3 - DISCIPLINARY INFORMATION

Jason W. Browne has no history of any legal or disciplinary events that deems to be material to a client's consideration of Mr. Browne to act as their investment adviser representative. FINRA's BrokerCheck® may have additional information regarding the disciplinary history of Jason W. Browne that is not included in this brochure supplement. (<http://brokercheck.finra.org/Support/TermsAndConditions.aspx>)

## ITEM 4 - OTHER BUSINESS ACTIVITIES

Mr. Browne engages in no other business activities outside the scope of his employment with

Alexis Investment Partners, LLC.

#### **ITEM 5 - ADDITIONAL COMPENSATION**

Jason W. Browne receives no additional compensation the scope of his employment with Alexis Investment Partners, LLC.

#### **ITEM 6 - SUPERVISION**

Jason W. Browne is President and CCO of Alexis Investment Partners, LLC and is its ultimate supervisor. However, he is required to adhere to company processes and procedures as described in our firm's Code of Ethics and Compliance Manual. The CCO may be reached at (925) 457- 5258.

#### **PORTFOLIO CONSTRUCTION**

This section describes the management style of the client portfolios and provides a description of the management of portfolio selections, risk tolerance, and individual client models.

Portfolios are generally constructed first by developing a financial plan. This financial plan is not intended to be comprehensive but to form clear goals for each client and to determine client investment objectives and risk tolerance. Using this information as a reasonable basis, a core asset allocation is determined. Client portfolios are invested based on personalized allocations into models that are developed and managed by Mr. Browne and are generally constructed of Mutual Funds, Exchange Traded Funds (ETF), and at times individual stocks along with covered calls. These models are created and managed using input from multiple research providers along with Mr. Browne's decades of experience as a financial adviser, portfolio manager and investment strategist. Additionally, clients may place reasonable restrictions and investment guidelines on transactions in certain types of legacy security positions which they wish to maintain and hold alongside their portfolio investments. Where possible, trades in models are executed and traded in blocks to achieve average pricing for best execution.





**Alexis V. Browne**

**Alexis Investment Partners, LLC**

103 Casterly Green Ct

Montgomery TX 77316 Phone: (925) 457-  
5258

September 10, 2021

The Brochure Supplement provides information about Alexis Browne that supplements the Alexis Investment Partners, LLC Brochure. You should have received a copy of the Brochure. Please contact the Chief Compliance Officer, if you did not receive Alexis Investment Partners, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Alexis Browne (CRD# 7262063) is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

Alexis V. Browne

Born: 1999

### Post-Secondary Education:

- Lehigh University, Bachelor's degree: Finance & Economics, August 2020
- Lehigh University, Technology, Research, and Communication (TRAC) Fellow, May 2020
- Lehigh University, Technology, Research, and Communication (TRAC) Lead TRAC Writing Fellow, May 2020
- Bloomberg Market Concepts (BMC), April 2019

### Recent Business Experience:

- Alexis Investment Partners – Investment Advisor Representative, 05/2021- Present
- Sowell Management – IAR, 06/2020 – 06/2021
- Thompson Portfolio – Portfolio Manager, 04/2019 – Present
- FundX Investment Group – Intern, 06/2016 – 08/2017
- Student – Lehigh University, 08/2017 – 08/2020
- Student – Carondelet, 08/2013 – 05/2017

## ITEM 3 - DISCIPLINARY INFORMATION

Alexis V. Browne has no history of any legal or disciplinary events that deems to be material to a client's consideration of Ms. Browne to act as their investment adviser representative. FINRA's BrokerCheck® may have additional information regarding the disciplinary history of Alexis V. Browne that is not included in this brochure supplement.

(<http://brokercheck.finra.org/Support/TermsAndConditions.aspx>)

## ITEM 4 - OTHER BUSINESS ACTIVITIES

Alexis V. Browne is licensed to sell insurance and does so by holding appointments directly with various insurance companies. Commissions are earned by Ms. Browne if insurance products are purchased through these insurance companies. The above arrangement presents a conflict of interest because they create an incentive to make recommendations based upon the amount of compensation we receive rather than based upon your needs. We will explain the specific costs associated with any recommended investments with you. However, you are under no obligation, contractually or otherwise, to purchase insurance products through any person affiliated with our firm.

## ITEM 5 - ADDITIONAL COMPENSATION

Alexis V. Browne receives commissions from the sale of insurance.

## ITEM 6 - SUPERVISION

Alexis Browne is supervised through a compliance program designed to prevent and detect violations

of the federal and state securities laws. Supervision is conducted by the Chief Compliance Officer (CCO), Jason W. Browne, who is responsible for administering the firm's policies and procedures. The CCO reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation and ensures that all policies and procedures of the firm are followed. The CCO may be reached at (925) 457- 5258.

---

## **PORTFOLIO CONSTRUCTION**

---

This section describes the management style of the client portfolios and provides a description of the management of portfolio selections, risk tolerance, and individual client models.

Portfolios are generally constructed first by developing a financial plan. This financial plan is not intended to be comprehensive but to form clear goals for each client and to determine client investment objectives and risk tolerance. Using this information as a reasonable basis, a core asset allocation is determined. Client portfolios are invested based on personalized allocations into models that are developed and managed by Mr. Browne and are generally constructed of Mutual Funds, Exchange Traded Funds (ETF), individual stocks and at times covered calls.

These models are created and managed using input from multiple research providers along with Mr. Browne's decades of experience as a financial adviser, portfolio manager and investment strategist. Additionally, clients may place reasonable restrictions and investment guidelines on transactions in certain types of legacy security positions which they wish to maintain and hold alongside their portfolio investments. Where possible, trades in models are executed and traded in blocks to achieve average pricing for best execution.



## Martin H. Kreisler

Alexis Investment Partners, LLC  
4016 Tradewinds Drive  
Oxnard, CA 93035  
Phone: (661) 670-7265

June 30, 2021

The Brochure Supplement provides information about Martin H. Kreisler that supplements the Alexis Investment Partners' Brochure. You should have received a copy of the Brochure. Please contact the Chief Compliance Officer, if you did not receive Alexis Investment Partners' Brochure or if you have any questions about the contents of this supplement. Additional information about Martin H. Kreisler (CRD# 2765309) is available on the SEC's website at [www.adviserinfo.gov](http://www.adviserinfo.gov).

## **ITEM 2 - EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE**

Martin Kreisler

Born: 1944

Post-Secondary Education:

- California State University Long Beach, Bachelor of Science Degree, 1966
- University of Southern California, Master of Business Administration, 1971

Business Experience:

- Alexis Investment Partners – Investment Advisor Representative, 05/2021- Present
- Sowell Management – IAR, 11/2019 – 06/2021
- FundX Investment Group - IAR, 11/2014 – 11/2019
- Kreisler Long-Term Investments - Chief Compliance Officer and Principal, 05/1998 – 12/2014

## **ITEM 3 - DISCIPLINARY INFORMATION**

Martin Kreisler has no history of any legal or disciplinary events that deems to be material to a client's consideration of Mr. Browne to act as their investment adviser representative. FINRA's BrokerCheck® may have additional information regarding the disciplinary history of Martin Kreisler that is not included in this brochure supplement. <http://brokercheck.finra.org/Support/TermsAndConditions.aspx>

## **ITEM 4 - OTHER BUSINESS ACTIVITIES**

Mr. Kreisler's consultant services are provided through Alexis Investment Partners, LLC. Mr. Kreisler is a Docent at the Ronald Reagan Presidential Library.

## **ITEM 5 - ADDITIONAL COMPENSATION**

Martin Kreisler receives no additional compensation beyond the scope of his employment with Alexis Investment Partners, LLC.

## **ITEM 6 - SUPERVISION**

Martin Kreisler is supervised through a compliance program designed to prevent and detect violations of the federal and state securities laws. Supervision is conducted by the Chief Compliance Officer (CCO), Jason W. Browne, who is responsible for administering the firm's policies and procedures. The CCO reviews those policies and procedures annually for their adequacy and the effectiveness of their implementation and ensures that all policies and procedures of the firm are followed. The CCO may be reached at (925) 457- 5258.

## **PORTFOLIO CONSTRUCTION**

This section describes the management style of the client portfolios and provides a description of the management of portfolio selections, risk tolerance, and individual client models.

Portfolios are generally constructed first by developing a financial plan. This financial plan is not intended to be comprehensive but to form clear goals for each client and to determine client investment objectives

and risk tolerance. Using this information as a reasonable basis, a core asset allocation is determined. Client portfolios are invested based on personalized allocations into models that are developed and managed by Mr. Browne and are generally constructed of Mutual Funds, Exchange Traded Funds (ETF), individual stocks and at times covered calls. These models are created and managed using input from multiple research providers along with Mr. Browne's decades of experience as a financial adviser, portfolio manager and investment strategist. Additionally, clients may place reasonable restrictions and investment guidelines on transactions in certain types of legacy security positions which they wish to maintain and hold alongside their portfolio investments. Where possible, trades in models are executed and traded in blocks to achieve average pricing for best execution.

# Alexis Investment Partners, LLC

## PRIVACY POLICY

Adopted April 20, 2021

Alexis Investment Partners, LLC (the “AIP”) adopts the following privacy policy in order to safeguard the personal information of its consumers and customers in accordance with SEC Regulation S-P, 17 CFR 284.30.

Shares of the ETFs in the AIP are distributed through the Distributor. The Distributor continuously offers shares of the ETFs via large blocks of shares called creation units. Creation units are available for purchase and redemption only with large institutions that enter into an Authorized Participation agreement with Distributor (“APs”). Upon entering an agreement, the APs may enter into transactions with the AIP’s Transfer Agent to purchase or redeem shares via the creation unit process. The APs may hold the shares directly or sell them on the open market. Because of this structure, the AIP does not personal information of the underlying shareholder. As Regulation S-P is limited in scope to natural persons, the below policy will only apply to series of mutual funds of the AIP.

### Commitment to Consumer Privacy

The AIP recognizes and respects the privacy expectations of each of our customers and believes that the confidentiality and protection of consumer information is one of our fundamental responsibilities. The AIP is committed to maintaining the confidentiality, integrity and security of the customers’ personal information and will handle personal consumer and customer information only in accordance with Regulation S-P and any other applicable laws, rules and regulations. The AIP will ensure: (a) the security and confidentiality of customer records and information; (b) that customer records and information are protected from any anticipated threats and hazards; and (c) that unauthorized access to, or use of, customer records or information is protected against.

### Collection and Disclosure of Shareholder Information

Consumer information collected by, or on behalf of, the AIP generally consists of the following:

- Information received from consumers or customers on or in applications or other forms, correspondence, or conversations, including, but not limited to, their name, address, phone number, social security number, assets, income and date of birth; and
- Information about transactions with us, our affiliates, or others, including, but not limited to, shareholder account numbers and balance, payments history, parties to transactions, cost basis information, and other financial information.

AIP does not disclose any nonpublic personal information about our current or former consumers or customers to nonaffiliated third parties, except as permitted by law. For example, as the AIP has no employees, it conducts its business affairs through third parties that provide services pursuant to agreements with the AIP (as well as through its officers and directors).

### Security of Consumer and Customer Information

The AIP will determine that the policies and procedures of its affiliates and service providers are reasonably designed to safeguard customer information and require only appropriate and authorized access to, and use of, customer information through the application of appropriate administrative, technical, physical, and procedural safeguards that comply with applicable federal standards and regulations. AIP directs each of its service providers to adhere to the AIP’s privacy policy and to their respective privacy policies with respect to all customer information of the AIP and to take all actions reasonably necessary so that AIP is in compliance with the provisions of 17 CFR 248.30, including, as applicable, the development and delivery of initial and annual privacy notices and maintenance of

appropriate and adequate records. The AIP will require its service providers to restrict access to nonpublic personal information about customers to those employees who need to know that information to provide products or services to customers.

The AIP may require its service providers to provide periodic reports to AIP outlining their privacy policies and implementation and promptly report to AIP any material changes to their privacy policy before, or promptly after, their adoption.



## Customer Relationship Summary

Item 1 Introduction: Alexis Investment Partners, LLC (AIP) is registered with the Securities and Exchange Commission (SEC) as an investment adviser. Brokerage and investment advisory services and fees differ and it is important for you to understand these differences. Free and simple tools are available to research firms and financial professionals at [Investor.gov/CRS](http://Investor.gov/CRS), which also provides educational materials about broker-dealers, investment advisers, and investing.

Item 2 Relationships and Services: What investment services and advice can you provide me?

We offer investment advisory and financial planning services to retail investors. *Investment Authority:* All accounts give AIP discretionary authority. *Monitoring:* AIP Management monitors client portfolios on a continuous and ongoing basis. Such reviews are conducted by AIP's investment personnel and/or investment adviser representatives. The frequency of reviews will depend upon the complexity of the accounts, the nature of the advisory recommendations, changes in tax or market conditions, as well as other conditions and material changes to the client's situation. For additional information, please see AIP's Form ADV, Part 2A Brochure (Items 4 and 7).

### Conversation Starter

Given my financial situation, should I choose an investment advisory service? Why or why not? How will you choose investments to recommend to me? What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?

Item 3 Fees, Costs, and Standards of Conduct: What fees will I pay?

*Principal Fees and Costs:* AIP offers investment management services for an annual fee based on the amount of assets under the firm's management.

Assets under Management	Annual Management Fee
\$0 to \$1,000,000	0.88%
\$1,000,001 to \$3,000,000	0.77%
\$3,000,001 to \$5,000,000	0.50%
>\$5 million	negotiated

AIP's management fees for qualified plans are individually negotiated per plan. A minimum annual fee of \$1200 is charged per plan. Our management fee is negotiable, at the sole discretion of AIP, taking into account the specific needs of each client. Client fees are payable monthly, in advance, based on assets under management. Minimum fees may apply. Financial planning services may be included as a component of a personal wealth management relationship. Financial planning may also be provided for a pre-negotiated fixed fee.

*Other Fees and Costs:* In addition to the advisory fees paid to AIP Management, clients may also incur certain charges imposed by other third parties, such as broker-dealers, custodians, trust companies, banks, and other financial institutions. These additional charges may include securities brokerage commissions, transaction fees, custodial fees, fees charged by the Independent Managers, margin costs, charges imposed directly by a mutual fund or ETF in a client's account as disclosed in the fund's prospectus (e.g., fund management fees and other fund expenses), 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. AIP charges an **asset-based fee**; the more assets there are in a retail investor's account, the more that retail investor will pay in fees, and the firm will therefore have an incentive to encourage the retail investor to increase the assets in his or her account.

**You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce any amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying. For additional information, please refer to AIP's Form ADV, Part 2A brochure Items 4, 5, and 7.**

### **Conversation Starter**

Help me understand how these fees and costs might affect my investments. If I give you \$10,000 to invest, how much will go to fees and costs, and how much will be invested for me?

What are your legal obligations to me when acting as my investment adviser? How else does your firm make money and what conflicts of interest do you have?

*When we act as your investment adviser*, we have to act in your best interest and not put our interest 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 you. Here are some examples to help you understand what this means: When we recommend an advisory account, a rollover of a retirement plan account, refer a client to a third-party asset manager, or provide additional services for compensation, the compensation associated with these recommendations creates an incentive to make these recommendations based upon the amount of compensation we receive, rather than based upon your needs.

### **Conversation Starter**

How might your conflicts of interest affect me, and how will you address them?

How do your financial professionals make money?

AIP's financial professionals are compensated by cash compensation from the advisory and financial planning fees that we charge you. Our fee for services may vary depending on such factors as the amount of your assets we manage and the time and complexity required to meet your needs. Clients are advised that a conflict of interest exists when our financial professionals recommend our services to you, in that we will earn a fee from the services provided to you and the financial professional will be directly compensated from those fees.

Item 4 Disciplinary History: Do you or your financial Professionals have legal or Disciplinary history? No AIP does not have any legal, financial, or disciplinary items to report.

### **Conversation Starter**

As a financial professional, do you have any disciplinary history? For what type of conduct?

### **Search Tool**

Please visit [investor.gov/CRS](http://investor.gov/CRS) a free tool to research AIP and our financial professionals.

Item 5 Additional Information: For additional information about our services, please refer to AIP's Form ADV, Part 2A brochure Item 4 and Item 7. If you would like additional, up-to-date information or a copy of this disclosure, you may contact your finance professional, or you may call (925) 457-5258 and request the Compliance Department.

### **Conversation Starter**

Who is my primary contact person? Is he or she a representative of an investment-adviser or a broker-dealer?

Who can I talk to if I have concerns about how this person is treating me?