

**Firm Brochure**  
(Part 2A of Form ADV)

**Stonepoint Capital, LLC**

March 31, 2023

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This Brochure provides you with information about the qualifications, business practices and nature of advisory services of Stonepoint Capital, LLC, all of which should be considered before becoming an advisory client of our firm. Please contact Timothy James Wolters, Owner, if you have any questions about this narrative brochure.

The information in this Brochure has not been approved or verified by the United States Securities and Exchange Commission ("SEC"), or by any state securities authority.

We are registered as an Investment Adviser with the Securities and Exchange Commission regulatory agency. Nonetheless, registration with any state or federal regulatory division does not imply any level of skill or training. Additional information about our firm is available on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You can search this site by a unique identifying number known as a CRD number. Our Firm's CRD number is 174838.

## **ITEM 2: MATERIAL CHANGES**

This section only discusses any material changes to this Form ADV Part 2A disclosure document since the date of our 2022 annual update to this brochure, which was March 31, 2022 through the date of our 2023 annual update to this brochure which was March 31, 2023. During this time frame, Scott Alexander Greenwood left the Firm and Timothy James Wolters is the sole owner of the Firm.

### **Full Brochure Available**

Whenever you would like to receive a complete copy of our Firm Brochure and/or Supplemental Brochure, please contact us by telephone at 615-981-5380 or by email at [info@stonepointcap.com](mailto:info@stonepointcap.com).

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## **ITEM 4:      ADVISORY BUSINESS**

### **A. Firm Description**

Stonepoint Capital, LLC (“SC” or the “Firm”) is an investment management firm that is registered with the Securities and Exchange Commission regulatory agency as an investment adviser.

SC is organized as a limited liability company that was founded in 2015. SC’s current business activity consists of providing investment advisory services utilizing its proprietary investment strategy to individuals, high net worth individuals, families, and institutions. It may also offer financial planning, business/tax consulting services to clients.

Principal Owners: SC is solely owned by Timothy James Wolters.

### **B. Types of Advisory Services:**

SC provides investment advice and financial planning services to individuals, families, trusts, and institutions. SC does not assess a fee for its financial planning services.

### **C. Tailored Relationships:**

The asset management services and separately managed advisory programs offered by SC are based on the individual needs of our clients which are assessed in client interviews and the suitability of products and services. We make a thorough assessment of our client’s goals, objectives, investment horizon, and risk tolerance. SC does not allow clients to impose restrictions on investments.

### **D. Wrap Fee Programs:**

Wrap Fee Programs are arrangements between broker-dealers, investment advisers, banks and other financial institutions and affiliated and unaffiliated investment advisers through which the clients of such firms receive discretionary investment advisory, execution, clearing and custodial services in a “bundled” form. In exchange for these “bundled” services, the clients pay an all-inclusive (or “wrap”) fee determined as a percentage of the assets held in the wrap account.

Due to the nature of its advisory services, SC does not participate in and is not a sponsor of wrap fee programs.

### **E. Assets under Management:**

SC had approximately \$154,896,705 in assets under advisement on a discretionary basis as of December 31, 2022.

## **ITEM 5:      FEES AND COMPENSATION**

### **A. Description and Billing**

SC earns its fees and compensation by providing advice and investment management services to clients. The compensation will be in the form of Management fees (the “Management Fee”). SC deducts its fees automatically from each client’s account balance pursuant to the fee structure agreement upon and between the client and SC. The fees you pay us do not include brokerage commissions or other fees or charges associated with securities transactions implemented with or through a brokerage firm, mark-ups or mark-downs in

principal transactions, deferred sales charges, stock exchange fees, wire transfer or related processing fees, transfer taxes or other charges mandated by law or regulation all of which will be charged to you in addition to our fee. We do not receive any portion of any of the foregoing expenses or fees. You should go to the section on Brokerage Practices in our brochure for more information on how we select or recommend brokerage firms for your securities transactions and information related to that process.

You should understand that mutual funds, including exchange traded funds, in which your assets are invested by us or by others, impose separate investment management fees and other operating expenses, described in the fund's prospectus, for which you, the client, will be charged separately from the fee paid to us for our services. Clients may pay their fees directly if they wish to do so. Our compensation and billing procedures are as follows:

## **1. Management Fees**

A Management Fee is paid quarterly in advance to SC based on the account's value on the first day of each quarter. The following maximum fee schedule shall be applied to client assets under management on the first day of each quarter.

Assets between \$0 and \$1,000,000: 1.50% (0.375% quarterly)

Assets between \$1,000,001 and \$5,000,000: 1.0% (0.25% quarterly)

Assets between \$5,000,001 and \$10,000,000: 0.75% (0.1875 quarterly)

Assets between \$10,000,001 and \$25,000,000: 0.50% (0.125% quarterly)

Assets over \$25,000,001: 0.25% (0.0625% quarterly)

SC may waive or negotiate a lower fee with any client.

### **B. Refund Policy**

Our Management Fee is assessed in advance and billed at the start of each quarter. A client relationship may be severed at any time, by either party, for any reason upon receipt of 30 days' written notice. Upon termination of any account, any prepaid, unearned fees will be promptly refunded. In calculating a client's reimbursement of fees, we will pro rate the reimbursement according to the number of days remaining in the billing period.

### **C. Other Compensation**

SC does not accept any compensation other than Management Fee.

## **ITEM 6: PERFORMANCE-BASED FEES AND SIDE-BY-SIDE MANAGEMENT**

### **A. Performance-Based Fees**

Performance-Based Fees ("Performance Fees") are based on a share of the capital gains or capital appreciation of the assets of a client. Fees based on performance means SC participates directly in the account's results.

The advisor or its affiliates may receive performance-based compensation in related to its services with private funds.

### **B. Side-by-Side Management**

"Side-by-Side Management" refers to a situation in which the same Adviser manages accounts that are billed based only on a percentage of assets under management ("Management Fee") and at the same time manages other accounts for which fees are assessed on a performance fee basis ("Performance Fee").

SC does not conduct side-by-side management of pooled investment vehicles or separately managed accounts at this time.

## **ITEM 7: TYPES OF CLIENTS**

### **A. Types of Clients:**

SC has individual clients, high net worth clients, private funds, and family office clients. All other types of clients will be reviewed on a case by case basis.

### **B. Conditions for Account Management:**

There is no minimum initial account contribution.

## **ITEM 8: METHODS OF ANALYSIS, INVESTMENT STRATEGIES & RISK OF LOSS**

### **A. Methods of Analysis:**

The investment advice SC provides is primarily driven by each client's personal investment profile. This profile is based upon numerous factors including the client's investment objectives and goals, personal risk assessment, asset class preferences, investment horizon, liquidity needs, generational requirements, charitable desires, estate planning and tax considerations. We consider these client factors in light of the then current market landscape, including appropriate asset-classes, asset-class returns (historical and projected) and correlations, various asset-class risk metrics, and general global and domestic economic conditions. Our investment team incorporates all such client/investment/economic data points and prepares an asset allocation appropriate for each client's personal situation.

### **B. Investment Strategies:**

SC's investment manager search, selection, evaluation, and monitoring services assist our clients in the identification of independent third-party managers that are consistent with the determined asset allocation plan for each client. Key factors we consider when evaluating third party managers are investment process, investment philosophy, risk management, historical performance, investment strategy and style, fees and operating expenses, alignment of interests, fund size, and tax efficiencies.

In evaluating investment managers, we also incorporate both qualitative and quantitative fundamental analysis to validate and confirm a manager's investment style and skill, as well as compare them to other managers of similar style. We utilize various research databases, proprietary models, financial periodicals, prospectuses and filings with the SEC, industry contacts and manager data, among other items, as part of the research process.

If we believe that a particular manager is no longer suitable for clients, or that a different manager is more suitable for its clients' needs, then we will contract with a different manager.

### **C. Material Risks of Methods of Analysis and Investment Strategies:**

Some investment products often engage in leveraging and other speculative investment practices that may increase the risk of investment loss. Because risks are inherent in all the

investments in which the adviser engages, no assurances can be given that the adviser's investment objectives will be realized.

**There can be no assurance that the investment strategies will achieve their investment objective or avoid substantial losses.** An investor could lose all or a substantial amount of his or her investment. Notwithstanding the method of analysis or investment strategy employed by the Firm, the assets within the investment strategies are subject to risk of devaluation or loss. An investor should not make an investment with the expectation of sheltering income or receiving cash distributions. An investment by the client should form only as part of a complete investment program, and an investor must be able to bear the loss of its entire investment. Investors are urged to consult with their personal advisers before investing.

A client or investor also should carefully consider the following risks prior to making an investment:

- *General Investment Risks:* The investment strategies success depends upon SC's ability to implement its investment strategy. Any factor that would make it more difficult to execute timely trades may also be detrimental to the investment strategies profitability.
- *Counterparty Risk:* There is always a risk that a particular broker/dealer that SC will use may fail or simply cut off the investment strategies.
- *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. In extreme market conditions, liquidity problems can cause the collapse of the entire investment strategy.
- *Execution of Orders:* The adviser's trading strategies depend on the ability to establish and maintain an overall market position in a combination of financial instruments selected by SC. The adviser's trading orders may not be executed in a timely and efficient manner due to various circumstances, including, without limitation, systems failures or human error attributable to employees, brokers, agents or other service providers.
- *Dependence on Key Personnel:* Success of the investment strategies depends in substantial part upon the skill and expertise of the principal who will be responsible for managing the client's assets.

While this information provides a synopsis of the events that may affect your investment, we want you to understand that there are inherent risks associated with investing; **YOU COULD LOSE ALL OR A SUBSTANTIAL AMOUNT OF YOUR INVESTMENT.**

#### D. Recommendation of Specific Types of Securities:

SC may recommend, purchase, or sell for the accounts of its clients, any securities that are suitable for the client, based upon SC understanding of client objectives, time horizon, financial requirements and risk tolerance.

For clients who want exposure in asset classes beyond equity and fixed income we may include alternative investments such as illiquid alternative investments, hedge funds, etc. Alternative investments provide exposure to markets and investment strategies that cannot be accessed through other more traditional asset classes or mutual funds. Alternative investments, typically illiquid may be used with traditional fixed income and equity strategies to potentially enhance



overall portfolio performance with lower volatility. Our alternative investment strategy is based on thoroughly evaluating the investment and its managers. Among the factors we consider in selecting alternatives, include performance, the use of leverage, understanding sources of risk, and cost. In addition to attractive risk-adjusted return potential, alternatives provide diversification through lower correlated asset classes to reduce the volatility of your overall portfolio. Investing in alternative investments is speculative and not suitable for all investors. Alternatives are meant for experienced and sophisticated investors who are willing to bear the risks of the investment, which can include:

- Lack of liquidity in that there may be no secondary market;
- Loss of all or a substantial portion of the investment due to leveraging and/or short-selling;
- Volatility of returns;
- Restrictions on transferring interests in the investment;
- Absence of information regarding valuations and pricing;
- Delays in tax reporting; and
- Less regulation and higher fees including internal fees, expenses, and costs.

In addition, certain of our employees and principal may also be investors in alternative investments such as illiquid alternative investments, hedge funds, etc. which from time to time, we may discuss with, or recommend to, a client as a potential investment in these entities consistent with the client's investment objectives. This presents a conflict of interest due to the relationship of certain employees and principal as described above which may give our employee or principal a financial incentive to solicit our clients to invest in these entities. We address this conflict of interest by full and fair disclosure to you.

## **ITEM 9: DISCIPLINARY INFORMATION**

The Firm and its employees have not been involved in legal or disciplinary events related to past or present investment clients.

## **ITEM 10: OTHER FINANCIAL INDUSTRY ACTIVITIES AND AFFILIATIONS**

### **A. Financial Industry Activities:**

SC is not a registered broker-dealer and does not have an application pending to register as a broker-dealer. Furthermore, none of SC's management or supervised persons is registered as representatives or has applications pending to register as representatives of a broker-dealer.

### **B. Financial Industry Affiliations:**

SC is not a registered, Futures Commission Merchant, Commodity Pool Operator, or Commodity Trading Advisor and does not have an application pending to register as such. Furthermore, none of SC's management or supervised persons is registered as or has applications pending to register as associated persons of the foregoing entities.

### **C. Other Material Relationships:**

SC does not have any arrangements that are material to its advisory or its clients with a related person who is a broker-dealer, investment company, other investment advisor, financial planning firm, commodity pool operator, commodity trading adviser or futures commission merchant, banking or thrift institution, accounting firm, law firm, insurance company or agency, pension consultant, real estate broker or dealer, or an entity that creates or packages limited partnerships other than those already disclosed herein.

### **D. Other Investment Advisers:**

SC does not have any arrangements that are material to its advisory or its clients with other investment advisers.

## **ITEM 11: CODE OF ETHICS, PARTICIPATION, OR INTEREST IN CLIENT TRANSACTIONS AND PERSONAL TRADING**

### **A. Code of Ethics:**

All employees of SC must act in an ethical and professional manner. In view of the foregoing and applicable provisions of relevant law, SC has determined to adopt a Code of Ethics to specify and prohibit certain types of transactions deemed to create conflicts of interest (or at least the potential for or the appearance of such a conflict). The Code focuses primarily on fiduciary duty, personal securities transactions, insider trading, gifts, and conflicts of interest. It also establishes ideals for ethical conduct based upon fundamental principles of openness, integrity, honesty, and trust. We will provide a copy of our Code of Ethics to any client or prospective client upon request.

### **B. Participation of Interest in Client Transactions:**

SC recommends the purchase and sale of securities interests to its clients. As noted in Item 5, SC earns a Management Fee for providing advisory services to its clients.

#### C. Personal Trading:

At times, we at SC may buy or sell securities for our own accounts that we have also recommended to clients. However, any purchase or sale of a security by SC or a related person will be subject to SC's fiduciary duty to its clients. SC and its employees have a fiduciary duty to place the interest of its clients ahead of its own interest. To mitigate or remedy any conflicts of interest or perceived conflicts of interest, we will monitor our proprietary and personal trading reports for adherence to our Code of Ethics.

#### D. Simultaneous Trading:

From time to time, representatives of SC may buy or sell securities for themselves at or around the same time as the investment strategies. In any instance where similar securities are being bought or sold, we will uphold our fiduciary duty by seeking to ensure that all transactions will be in our client's best interest.

### **ITEM 12: BROKERAGE PRACTICES**

#### A. Selection and Recommendation

SC will select and recommend a custodian that has the most favorable commission rate available for all of its clients in consideration of the factors set forth below. SC has selected FINRA registered broker- dealer, Pershing, LLC to provide brokerage and custodial services to its clients. SC reserves the right to use other or additional firms for brokerage and custodial services.

SC will have complete discretion regarding the selection of brokers or custodians and the amount of commissions and fees paid to such brokers or custodians. SC will consider such factors as the ability of the brokers or dealers to effect the transactions, their facilities, reliability and financial responsibility, and the provision or payment (or the rebate to SC for payment) of the costs of brokerage or research products or services which SC considers to be of benefit to its clients. SC need not solicit competitive bids and does not have an obligation to seek the lowest available commission or other transaction cost. Accordingly, the commissions and other transaction costs (which may include dealer markups or markdowns) charged to clients by brokers or dealers in the foregoing circumstances may be higher than those charged by other brokers or dealers that may not offer such products and services.

#### B. Soft Dollar Benefits:

As of December 31, 2022 the Firm has not utilized any particular procedures to direct investment strategies transactions in return for products and research services. SC does not generate "soft dollars" nor does it intend to generate "soft dollars."

However, if and when it does, SC intends to comply with the "safe harbor" of Section 28(e) of the Securities Exchange Act of 1934, as amended. Under "soft dollar" arrangements, one or more of the brokerage firms would provide or pay the costs of certain services, equipment, or other items for the benefit of SC. These soft dollar arrangements may benefit SC by reducing its expenses. Nonetheless, SC believes that to the extent it makes allocations to brokerage business with soft dollar arrangements, this would generally enhance the ability to obtain research, optimal execution, and other benefits on behalf of our clients.

C. Directed Brokerage:

SC will execute trades through Pershing, LLC brokerage and custodial services. Clients of SC will open accounts at Pershing, LLC and all accounts will be traded and custodied at Pershing, LLC. SC's firm policy is not to allow clients to direct their brokerage outside of the custodians which the firm uses.

D. Order Aggregation:

While individual client advice is provided to each account, client trades may be executed as a block trade. The executing broker will be informed that the trades are for the account of the Advisor's clients and not for Advisor itself. No advisory account within the block trade will be favored over any other advisory account, and thus, each account will participate in an aggregated order at the average share price and receive the same commission rate. The aggregation should, on average, reduce the costs of execution slightly, and Advisor will not aggregate a client's order if, in a particular instance, Advisor believes that aggregation would cause the client's cost of execution to be increased. Pershing will be notified of the amount of each trade for each account. Advisor and/or its Associated Persons may participate in block trades with clients and may also participate on a pro-rata basis for partial fills, but only after the determination has been made that clients will receive fair and equitable treatment.

### **ITEM 13: REVIEW OF ACCOUNTS**

A. Periodic Reviews:

SC reviews client's investment program, including current holdings, on an ongoing basis. The Firm reviews client's investment program to analyze rates of return, allocation of assets and to verify that client's portfolio is consistent with its investment objective.

B. Intermittent Review Factors:

Intermittent reviews may be triggered by substantial market fluctuation, economic or political events, or by changes in the client's investment objective(s).

C. Client Reports:

Pershing, LLC will provide every client with monthly reports detailing balances, securities and fees related to their account(s). Clients should carefully review their reports received from Pershing, LLC for any discrepancies. Generally, SC will not provide separate periodic reports to clients.

### **ITEM 14: CLIENT REFERRALS AND OTHER COMPENSATION**

A. Economic Benefits from Others:

SC does not receive an economic benefit (such as sales awards or other prizes) from any third party for providing investment advice or other advisory services to its clients. Employees of SC may, from time to time, participate in due diligence meeting or training events sponsored by third-party companies. These third-party companies may subsidize or fully pay for the cost of these events.

**B. Compensation to unaffiliated Third Parties:**

SC has no arrangements with unaffiliated third parties in order to market the firm or its investment strategies.

**ITEM 15: CUSTODY**

**A. Custodian of Assets:**

All Client funds, securities, and accounts are held at third-party custodians. Advisor does not take possession of a Client's funds, securities, or accounts. However, each portfolio management Client will be asked to authorize the Firm with the ability to deduct its fees directly from the Client's account. The Client's custodian will also send a quarterly account statement, indicating the number of fees withdrawn from the Client's Account.

Clients may authorize Advisor to execute the movement of Client funds to or from third-party sources for the benefit of the Client by the use of a standing letter of authorization ("SLOA"). If a Client elects to use an SLOA, the Firm is viewed to have custody of those assets. The Firm and its custodians have implemented multiple safeguards when a Client uses an SLOA, as outlined in [SEC No Action Letter 022117](#). Advisor urges Clients to carefully review their statements and notify the Firm of any discrepancies as soon as possible. All Client authorizations given by Client to Client's custodian, such as trading, billing, and the movement of funds, may be revoked at any time by Client contacting Client's custodian and revoking such authorization(s).

As a service to clients, SC may be able to assist them with the transfer of assets held by some custodians. In cases of recurring transfers, the client completes and signs custodian paperwork, such as a standing letter of authorization, authorizing SC to make transfers to a designated third party (a specified party other than the client) on their behalf. In these instances, SC may be deemed to have custody of those client assets.

The physical assets of clients are held in accounts with Pershing as the broker and custodian of client's portfolio assets.

**B. Account Statements:**

On a monthly basis, Pershing, LLC will provide to clients their account statements.

**ITEM 16: INVESTMENT DISCRETION**

SC is not limited in its authority to purchase securities for clients. SC has full discretion and authority to make all investment decisions with respect to the types of securities to be bought or sold or the amount of securities to be bought or sold for clients per the authorization given in the firm's Investment Management Agreement. SC does not allow clients to impose restrictions on investments.

**ITEM 17: VOTING CLIENT SECURITIES**

SC will not exercise any rights, powers and privileges of ownership in any securities, including the right to vote, give assent, execute, and deliver proxies. Such correspondence will be delivered directly by the client's custodian. SC has adopted proxy voting

policies and procedures that do not include voting proxies on behalf of its clients, but clients may, at their discretion, contact the Firm to discuss their proxy votes.

## **ITEM 18: FINANCIAL INFORMATION**

### **A. Balance Sheet Requirement:**

SC is not the qualified custodian for client funds or securities and does not require prepayment of fees of more than \$500 per client, six (6) months or more in advance.

SC complies with the financial reporting requirements of each state in which it is registered.

### **B. Financial Condition:**

SC does not have any financial impairment that would preclude it from meeting contractual commitments to clients.

### **C. Bankruptcy Petition:**

SC has not been the subject of a bankruptcy petition at any time during the past 10 years.

## **PRIVACY POLICY**

SC protects the privacy of and does not disclose any nonpublic personal information about its investors or former investors to any persons other than as described below, as permitted by applicable law or regulations or as per the investor's consent. SC obtains and collects nonpublic personal information about its investors from investor provided documents, and in order to conduct regular business, SC shares this information to its affiliates and firms that require such information to assist in servicing investor accounts. Any party that receives such information will use it as required and as allowed by applicable law or regulations and is not permitted to share or use it for any other purpose.

SC internally safeguards nonpublic personal information by restricting access to only those who provide services that require access. In addition, we maintain physical, electronic and procedural safeguards that meet federal and/or state standards to guard our investor's nonpublic personal information.

**Brochure Supplement**  
(Part 2B of Form ADV)

March 31, 2022

**TIMOTHY WOLTERS**  
**PRINCIPAL & MANAGING MEMBER**

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This Brochure Supplement provides information about the Investment Adviser Representatives (IARs) of STONEPOINT CAPITAL, LLC ("SC"). This information supplements the SC Firm Brochure. You should have received a copy of that brochure. Please contact Timothy Wolters at 615-981-5380, if you did not receive the brochure of SC. You can also contact Mr. Wolters if you have any questions about the content of this supplement. Additional information about the IARs delineated within this supplement is available on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You can search this website by using the IAR's CRD number 174838.

#### A. General Requirements

Generally, SC requires employees to hold a college or advanced degree or have relevant working experience in the securities industry. Any employee of SC acting in a representative capacity will be appropriately licensed or registered as such.

#### B. Investment Adviser Representative Information

We currently have one (1) investment adviser representative employed by SC. This Brochure Supplement provides information about **Timothy Wolters**.

#### Item 2 Education and Business Experience

Timothy James Wolters  
CRD Number: 6227624  
Year of Birth: 1980

##### EDUCATIONAL BACKGROUND:

Masters of Arts in Religious Studies,  
University of Alabama, 2002.

Master of Divinity  
Covenant Theological Seminary, 2007.

Prior to joining Stonepoint Capital, Mr. Wolters was employed by TrustCore Financial Services, Inc. where he was a financial planner.

He graduated from the University of Alabama with a major in religious studies.

##### RELATED BUSINESS EXPERIENCE:

**Managing Member/Investment Adviser Representative**  
Stonepoint Capital, LLC (2015- Present)

**Financial Planner**  
TrustCore Financial Services, Inc. (2013-2015)

#### Item 3 Disciplinary Information

Timothy Wolters does not have any legal or disciplinary events material to a client's or prospective client's evaluation.

#### Item 4 Other Business Activities

Timothy Wolters has no outside business activities to disclose.



#### Item 5 Additional Compensation

Other than salary, annual bonuses, or regular bonuses, Timothy Wolters does not receive any economic benefit from any person, company, or organization, in exchange for providing clients advisory services through SC.

#### Item 6 Supervision

Timothy Wolters is an Investment Adviser Representative of SC and is subject to supervision by Timothy Wolters who can be reached at the phone number on the cover page of this document. SC has implemented policies and procedures designed for the adherence of all IARs and staff to applicable laws, regulations, and firm policies regarding the discharge of their duties.

#### Item 7 Requirements for State-Registered Advisers

##### A.1 Arbitration Claims

None. Timothy Wolters has not been found liable in any arbitration claim alleging damages in excess of \$2500 involving an investment or investment-related business or activity, fraud, false statements or omissions, theft, embezzlement or other wrongful taking of property, bribery, forgery counterfeiting or extortion; or dishonest, unfair or unethical practices.

##### A.2 Self-Regulatory Organization or Administrative Proceedings

None. Timothy Wolters has not been found liable in any civil, self-regulatory organization, or administrative proceeding involving an investment or investment-related business or activity, fraud, false statements or omissions, theft embezzlement or other wrongful taking of property bribery, forgery, counterfeiting, or extortion; or dishonest, unfair or unethical practices.

##### B. Bankruptcy Petitions

Timothy Wolters has not been the subject of a bankruptcy petition at any time during the last 10 years.