

## Marquis Wealth Management Group – Form CRS

### Item 1 – Introduction

Marquis Wealth Management Group (“Marquis Wealth Management”, “we”, “us” or “our”) is registered with the Securities Exchange Commission (“SEC”) as registered investment adviser. Investment advisory services and compensation structures differ from that of a registered broker-dealer, and it is important that you understand the differences. Free and simple tools are available to research firms and financial professionals at [Investor.gov/CRS](https://investor.gov/CRS). The site 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 provide non-discretionary and/or discretionary investment advisory services which generally include financial planning and consulting services as part of our service model to individuals and their trusts, and estates (our “retail investors” or “clients”). When a client engages us to provide non-discretionary or discretionary investment management services, we shall monitor, on a continuous basis, the investments in the accounts under management as part of our investment management service. When a client engages us on a non-discretionary basis, we are required to obtain your approval prior to proceeding with recommended transactions and portfolio repositioning and rebalancing within your account(s) consistent with your investment objectives. When a client engages us on a discretionary basis, we shall have the authority, without prior consultation with you (unless you impose restrictions on our discretionary authority), to buy, sell, trade and allocate the investments within your account(s) consistent with your investment objectives. We do not limit the scope of the universe of securities that we use in managing client accounts, and may use equity securities, fixed income securities, mutual funds and exchange traded funds (ETFs). Our discretionary authority over your account(s) shall continue until our engagement is terminated. To the extent specifically requested, we do provide stand-alone financial planning and consulting services on a stated fee or an hourly rate basis.

We may recommend that a client allocate a portion of the client’s investment assets among mutual funds, ETFs and unaffiliated independent investment managers in accordance with the client’s investment objective(s).

When a client engages us to provide financial planning and consulting services, either as part of our investment advisory services or, on a stand-alone and separate fee basis, we rely upon the information provided for our review and do not verify or monitor any such information while providing this service. We may also recommend the services of other professionals for non-investment implementation purpose (i.e., attorneys, accountants, insurance, etc. We generally require a minimum asset level of \$500,000 for full-service investment advisory services. In our sole discretion, we may reduce the minimum asset requirement based upon certain circumstances. **Additional Information:** For more detailed information about our *Advisory Business* and the *Types of Clients* we generally service, please see Items 4 and 7, respectively in our [ADV Part 2A](#).

#### **Conversation Starters:**

*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, Conflicts, and Standard of Conduct

#### *What Fees will I pay?*

We may provide discretionary and/or non-discretionary investment management services to Clients on a *fee* basis. Our full-service annual investment advisory fee is based upon a percentage (%) of the market value of the assets placed under our management (“AUM”), generally between 1.50% and negotiable and will include, to the extent specifically requested by the client, financial planning and consulting services. For stand-alone engagements, our planning and consulting fees are negotiable, but generally range from \$175 to \$300 on an hourly rate basis for professional time and \$80 for administrative time, depending upon the level and scope of the service(s) required and the person(s) rendering the service(s). We may engage independent managers to separately manage a portion of a Client’s investment assets in accordance with the client’s investment objectives. We will receive an annual investment advisory fee which is based upon a percentage of the market value of the assets being managed by the designated Independent Manager(s) generally between 0.50% and 1.50%. Please Note: Investment management fees charged by the Independent Manager[s] are separate from, and in addition to, our advisory fee. If a client determines to become a private fund investor, the amount of assets invested in the fund(s) shall be included as part of “assets under management” for purposes of calculating your investment advisory fee.

We generally require an annual minimum fee of \$1,500 annually for clients who maintain assets below the \$500,000 minimum,

and \$2,500 annually for clients who maintain assets above the \$500,000 minimum; however, we may, in our sole discretion, reduce the investment management fee based upon certain circumstances. Please Note: As a result, it is possible that similarly situated clients could pay different fees. Our annual investment advisory fee shall be prorated and paid quarterly, in advance, based upon the market value of the assets on the last business day of the previous quarter. Other Fees and Costs: Your investment assets will be held with a qualified custodian. Custodians may charge brokerage commissions and/or transaction fees for effecting certain securities transactions (i.e., transaction fees are charged for certain no-load mutual funds, commissions are charged for individual equity and fixed income securities transactions).

We either deduct our fee from one or more of your investment accounts or bill you for our services quarterly in advance. Because our fee is based on the amount of your assets under our management, the more assets you entrust us to manage, the more you will pay us for our services. Therefore, we have an incentive to encourage you to increase the amount of assets that you entrust to us. Clients are provided, at least quarterly, with written transaction confirmation notices and regular written summary account statements directly from the broker-dealer/custodian. Additional Information: You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce the amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying. For more detailed information about our fees and costs related to our management of your account and other services, please see Item 5 and 12 of our [ADV Part 2A](#).

*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?***

When we act as your investment adviser, we have a fiduciary obligation 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. Below is an example to help you understand what this means: *How might your conflicts of interest affect me, and how will you address them?*

Additional Information: For more detailed information about our conflicts of interest, please review Items 4, 5, 10, 11, 12 and 14 of our [ADV Part 2A](#).

***How do your financial professionals make money?***

Our financial advisors are compensated through a base salary and a quarterly profit share on the fee based revenue earned on the clients they work with directly. In addition, and at the end of each fiscal year, the firm partners may receive a distribution of any remaining net earnings after all firm expenses are paid. Additionally, our firm may receive insurance commissions related to insurance products recommended by its advisors, who are also licensed insurance agents for life, health, LTC and disability insurance policies. The insurance commission revenue, when earned and received, is generally included in part of the respective compensation for each advisor. You should discuss your financial professional's compensation directly with your financial professional.

**Item 4 – Disciplinary History**

***Do you or your financial professionals have legal or disciplinary history?***

No. However, we encourage you to visit [www.Investor.gov/CRS](http://www.Investor.gov/CRS) to research our firm and our financial professionals. Furthermore, we encourage you to ask your financial professional: *As a financial professional, do you have any disciplinary history? If so, for what type of conduct?*

**Item 5 – Additional Information**

Additional information about Marquis Wealth Management Group is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You may contact our Chief Compliance Officer Richard E. Krichbaum, at any time to request a current copy of our [ADV Part 2A](#) or our *relationship summary*. Our Chief Compliance Officer may also be reached by phone: (239) 454-1117.

*Who is my primary contact person? Is he or she a representative of an investment adviser or broker-dealer? Who can I talk to if I have concerns about how this person is treating me?*