

Kingsview Wealth Management, LLC is an investment adviser registered with the Securities and Exchange Commission. Investment advisers and broker-dealers offer different services under differing compensation structures and it is important for retail investors like you to understand the differences between them. Educational materials about broker-dealers, investment advisers, and investing are available, along with free and simple tools to research firms and financial professionals, at [Investor.gov/CRS](https://www.investor.gov/CRS).

## What investment services and advice can you provide me?

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We offer financial planning, investment consulting, and investment management services to our retail clients. When providing investment management services, we primarily use stocks, bonds, exchange traded funds and notes, mutual funds, and cash or cash equivalents. We tailor our financial planning and ongoing financial consulting services to your needs and are able to address: education funding, tax planning, retirement planning, estate planning, insurance analysis, and cash flow analysis.

**Ongoing Monitoring.** We monitor the investments we place in client accounts under our investment management services on an ongoing basis and conduct a comprehensive review of each account at least annually. We also monitor and update recommendations made under our ongoing financial consulting relationships. Financial plans are generally provided as of a particular point in time and, unless your agreement with us clearly specifies otherwise, we do not provide ongoing updates to financial plans over time.

**Investment Authority.** All of our investment management services are provided on a discretionary basis. This means that we have the authority to buy and sell investments in your account without asking you in advance. Our clients grant us this authority by signing our standard Investment Advisory Agreement and we maintain this authority until you revoke it in writing or our agreement is terminated (and we will generally terminate the agreement in the event you do revoke this authority). Our financial planning and ongoing financial consulting services are provided on a non-discretionary basis. Under these services, you retain full authority to implement our recommendations and have no obligation to follow or act upon our advice.

**Ask your financial professional:**

- 🗨️ *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?*

**Account Minimums.** We do not impose a strict account minimum to establish a relationship with us; however, we may elect to decline servicing accounts valued under \$25,000.

**Additional information about our advisory services is available under [Item 4](#) of our Form ADV Part 2A disclosure brochure.**

## What fees will I pay?

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**Our Principal Fees.** Our fee for investment management services is generally based on the total value of your assets under our management. This fee includes both the active management and monitoring of your account and applies even if there are no transactions in your account during a billing period. Because asset-based fees are directly correlated to the value of your assets under our management, we have an incentive to recommend that you place additional assets under our management. Our financial planning and ongoing consulting services are generally available under a fixed-fee arrangement.

**Ask your financial professional:**

- 🗨️ *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?*

Access to proprietary models developed by our Kingsview Investment Management division is available for an additional fee. The fees for our proprietary models vary based on their complexity and other factors related to their underlying strategies. Your financial professional has an incentive to select or recommend a model developed by KIM for all or a portion of your portfolio because doing so

increases our revenue and, because our financial professionals may receive additional marketing and research support (see below *How do your financial professional's make money?*).

**Other Fees and Costs.** In addition to the fee you pay us for our services, you may be responsible for other fees and costs incurred in connection with the management of your account or when implementing transactions recommended by us. These costs, such as, transaction execution costs and account maintenance fees (custody, trade confirmations, etc.), are charged by third parties unaffiliated with us. Certain investment products, such as mutual funds and exchange-traded funds, also charge ongoing fees to cover their internal operating costs (including portfolio management fees, legal and accounting services, and marketing expenses).


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.


**Additional information about our fees is available under [Item 5](#) of our Form ADV Part 2A disclosure brochure.**


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

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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:

 **Internal Models & Affiliated Investment Products:** We offer our financial professionals' access to proprietary investment models developed through our Kingsview Investment Management division. Additional fees apply to assets invested under our proprietary models. We also offer certain Kingsview Investment Management models through our proprietary Monarch ETFs, for which we serve as investment adviser. In addition to recommending the Monarch ETFs individually, some of the models we recommend invest partially or exclusively in the Monarch ETFs. Because we receive additional fees from clients based on assets invested under our proprietary models and from the Monarch ETFs based on assets under management, we have an incentive to recommend that you invest in our models and/or the Monarch ETFs over other investments. Further details about these arrangements are provided in your client agreement with us and in our Form ADV Part 2A Brochure.

 **Kingsview Insurance Services:** We offer insurance services in situations where we believe clients would benefit from these services. Our financial professionals generally receive commissions from transactions resulting from providing these services and therefore have an incentive to recommend them because doing so will increase their compensation.

 **Custodial Relationships:** The custodians we recommend to hold your assets (Charles Schwab, Interactive Brokers, and Raymond James) generally provide us access to certain benefits that help us in our day-to-day management of our clients' accounts. Additionally, Raymond James offers us transition assistance when new financial professionals affiliate with our firm. Because of these benefits, we may have an incentive to recommend one custodian over another. You are encouraged to discuss these and any other applicable conflicts with your financial professional.

**Ask your financial professional:**

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

**Additional information about the conflicts of interest we face is under [Item 4](#), [Item 10](#), [Item 11](#), and [Item 14](#) of our Form ADV Part 2A disclosure brochure.**

## How do your financial professionals make money?

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Our financial professionals receive a portion of the fees you pay us for our investment advisory services. They may also receive salary guarantees, bonuses, or loans based on the amount of assets they manage or revenue generated. If you pay asset-based fees, our financial professionals have an incentive to recommend that you increase the amount of assets you have under our management because it will increase their compensation. Additional conflicts may exist and you are encouraged to discuss all potential conflicts with your representative.




**Additional information regarding the compensation and any possibly conflicts of interest are outlined in each financial professional's ADV Part 2B, which can be obtained from the financial professional or by calling us at (541) 291-4405.**

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

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Yes. Visit [Investor.gov/CRS](https://www.investor.gov/crs) for a free and simple search tool to research us and our financial professionals.

**Ask your financial professional:**

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

**You can find additional information about the services we provide in our [Form ADV Part 2A](#) disclosure brochure. The most recent versions of this Customer Relationship Summary and our Part 2A brochure are available at [www.kingsview.com](http://www.kingsview.com) or request that one be sent to you by contacting us at (541) 291-4405 or [info@kingsview.com](mailto:info@kingsview.com).**