

## Form ADV, Part 3 Form CRS (Client Relationship Summary)

March 28, 2024

Slayton Lewis Inc. (“we”, “our” or “us”) 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 the retail investor (“you” or “client”) to understand the differences. Free and simple tools are available to research firms and financial professionals at [www.investor.gov/CRS](http://www.investor.gov/CRS), which also provides educational materials about broker-dealers, investment advisers, and investing.

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

We provide personal financial planning and investment management to individuals, families and related entities. We also manage company retirement plans for certain types of clients. We work with each client to define financial goals and to develop tax-efficient strategies for reaching those objectives.

We monitor your investments periodically as part of our standard service.

We accept discretionary authority to manage investments on your behalf once a signed agreement is obtained. We have the authority to determine which securities are bought or sold, and the amount. We have discretion until the advisory agreement is terminated by you or our firm. Under certain circumstances, we may accept non-discretionary services. Under this arrangement, you make the ultimate decision regarding the purchase or sale of investments.

We do not make available or offer advice with respect to proprietary products, or a limited menu of products or types of investments.

We require a client to have a minimum of \$2,000,000 in manageable assets to begin a relationship, however this policy may be relaxed under certain circumstances.

Additional information about our advisory services may be found under Item 4 of our Form ADV Part 2A Firm Brochure, which is available [online](#) or by emailing a request to [info@slaytonlewis.com](mailto:info@slaytonlewis.com).

As a Registered Investment Advisor (“RIA”), we perform as a fiduciary to you as our client which means that we must always act in your best interest.

#### 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?

### What fees will I pay?

Generally, we base our fees on a percentage of assets under management, so our fees will rise and fall with the value of the assets we manage for you. We typically do not charge additional fees for personal financial planning unless we believe a project is beyond the scope of normal financial planning, in which case, a written proposal will be presented before any work begins. Our investment management fees are tiered from 1% to .40% based upon on the value of your investments. In some cases, if an account is greater than \$10M, we may offer a fixed annual fee and we may charge an hourly fee for certain projects. We never charge performance fees. For many of our clients, we prepare tax returns which does command additional costs. When managing company retirement plans, fees begin at .75% and drop to .25% once the account reaches \$10M.

We will deduct fees either monthly or quarterly from a designated brokerage account at a qualified custodian. Billing is charged in arrears based upon the value of your account on the last trading day of the billing period. A detailed fee schedule showing calculations is provided with your billing statement and any cash flows in or out of the portfolio are adjusted accordingly in the billing calculation.

Since our fees are based on a percentage of assets in your account, the more assets there are in your account, the more you will pay in fees, and we may therefore have an incentive to

#### Conversation Starters:

- 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?

encourage you to increase the assets in your account.

In addition to our fees, custodians may charge transaction fees on purchases or sales of certain mutual funds, stocks, bonds, and exchange-traded funds. These transaction charges are usually relatively nominal and are incidental to the purchase or sale of a security. In some cases, custodians may charge custody fees which are disclosed to clients when this type of arrangement is recommended. Mutual funds and exchange-traded funds generally charge a management fee for their services which is expressed as an expense ratio. Mutual fund fees also include transaction charges for the purchase or sale of securities within the fund and may charge other fees as disclosed in the fund prospectus.

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 may be found under Item 5 of our Form ADV Part 2A Firm Brochure, which is available [online](#) or by requesting a copy at [info@slaytonlewis.com](mailto:info@slaytonlewis.com).

## 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 is an example to help you understand what this means.

- We may purchase or sell the same stocks, as are purchased or sold for you in accordance with our policies and procedures. Such personal securities transactions may raise conflicts of interest when we trade in a security that is owned by you or considered for purchase or sale for you.

For more detailed information about our conflicts of interest, please review items 6, 10, 11, 12, 14 and 17 of Form ADV Part 2A Firm Brochure, which is available [online](#) or by emailing a request to [info@slaytonlewis.com](mailto:info@slaytonlewis.com).

### Conversation Starters:

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

## How do your financial professionals make money?

Our financial professionals are compensated based upon a salary not commissions. They may also be paid a bonus based upon their individual performance and/or our performance.

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

No. Neither the firm or any of its financial professionals have legal or disciplinary history. Visit [www.investor.gov/CRS](http://www.investor.gov/CRS) for a free and simple search tool to research us and our financial professionals.

### Conversation Starters:

- As a financial professional, do you have any disciplinary history? If so, for what type of conduct?

## Additional Information

You can search our CRD# 114596 to find additional information about our investment advisory services on the SEC's website at <https://adviserinfo.sec.gov/>. You may contact us at 866-752-9866 to request up-to-date information and a copy of our CRS.

### Conversation Starters:

- 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?