

Form ADV Part 3: Relationship Summary Kingsbridge Wealth Management, Inc.

Introduction

Conversation Starters: As a financial professional, what is your relevant experience, including your licenses, education, and other qualifications? Do you have any disciplinary history? For what type of conduct?

Kingsbridge Wealth Management, Inc. (“KWM”) is an investment adviser registered with the U.S. Securities and Exchange Commission. We offer our clients investment advisory services. Clients should understand that the services we provide and fees we charge are different than those of a broker-dealer, and that it is important to understand the difference between the two. Free and simple tools are available to research firms and financial professionals at <https://www.investor.gov/CRS>, which also provides educational materials about investment advisers, broker-dealers and investing. To learn more about our backgrounds, education and licenses, advisor specific information may be obtained at www.adviserinfo.sec.gov. Additionally, the **Form ADV Part 2A** mentioned in this summary is available at <https://adviserinfo.sec.gov/firm/summary/165560>

What Investment Services and Advice Can You Provide Me?

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?

Description of Services: We offer investment advisory services to retail investors. In most cases our clients are high net wealth individuals or families who may have complex wealth management needs. Our investment advisory services include Asset Management Services, Private Fund Management and Financial Planning and Consulting Services.

Asset Management Services: KWM provides asset management services which involves us managing and trading your designated investment account(s). In some cases, at the client’s request, KWM will also provide tracking and reporting on investments not sourced or managed by KWM in order to provide the client a more comprehensive view of their overall assets & liabilities. KWM will discuss your specific investment goals and design a strategy to try and achieve your investment goals. KWM will continuously monitor your account when providing asset management services and contact you at least annually to discuss your portfolio. In addition, KWM is the general partner for Kingsbridge Alternative Strategies Fund LP, and various affiliated Private Funds. For more information, please see **Item 4** of our **Form ADV Part 2A**. When providing asset management services you can choose whether you’d like us to provide services on a **discretionary** basis (we will have the authority to determine the type and amount of securities to be bought or sold in your account) or a **non-discretionary** basis (we will have to confirm any trades in your account with you before we place them). For more information about investment authority, please see **Item 16** of our **Form ADV Part 2A**.

Financial Planning & Consulting Services: We also provide financial planning and consulting services. Financial planning services involve us creating a written financial plan for you which covers mutually agreed upon topics. Financial consulting is used to develop and asset allocation and investment advice for specific investments. It involves one time and/or ongoing meetings to discuss your financial situation. Please see **Item 4** of our **Form ADV Part 2A**.

Limited Investment Offerings: We do not primarily recommend one type of investment to clients. Instead, we recommend investments that may be appropriate for each client relative to that client’s specific circumstances and needs. We will make recommendations and provide advice on our proprietary investment products.

Assets Under Management Fee Minimums: KWM typically requires a minimum of \$5,000,000 of investable assets in order to be a client of KWM. To reach this minimum, clients can aggregate all household accounts. The minimum fixed fee generally charged for financial planning and consulting services on a fixed fee basis is \$5000.

What Fees Will I Pay?

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?

Description of Principal Fees & Costs: Fees charged for our asset management services are charged based on a percentage of total assets under management, billed in advance on a quarterly calendar basis, and calculated based on the fair market value of your account as of the last business day of the previous billing period. The annual fee for asset management services will be based upon a fee schedule which ranges between 0.50% and 1.00%, based on the total assets under management. In general we do not charge different fees for different publicly traded asset classes. KWM may also receive management fees from the various Private Funds we manage. These fees range from 0.50% to 1.5% of the assets held in the fund. Certain private funds also contain a performance-based compensation option. Because our fee is based upon the value or performance of your assets managed by Kingsbridge, we have an incentive to recommend that you increase the level of your assets under management. Conversely, because we are paid based on the assets under management, our fees are reduced when assets

under management are reduced either by a reduction in market value or withdrawal of assets. When engaging us for asset management services, you may also incur other fees and expenses. The broker-dealer/custodian on your account may charge you transaction fees for executing trades in your account. Additionally, if we invest in funds with underlying management fees, you will be responsible for those underlying fund fees as well. Please see **Item 5 of our Form ADV Part 2A**

KWM can provide financial planning and consulting services under a fixed fee arrangement. The minimum fixed fee is generally \$5,000, and the maximum fixed fee is generally no more than \$50,000. A mutually agreed upon project based fee will be charged by KWM for financial planning and consulting services under this arrangement.

Any fees we charge for financial planning and consulting services will not cover the costs associated with implementing any recommendations we may make for the management of your assets.

Additional Information: 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 more information about the fees we charge and the other fees and expenses you will incur, please see **Item 5 of Form ADV Part 2A**.

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?

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

Standard of Conduct: When we act as your investment adviser, we are required 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. When we provide asset management services, we will ask that you establish an account with Charles Schwab to maintain custody of your assets and to effect trades for your account. Our recommendation to use Charles Schwab is not based solely on your interest of receiving the best execution possible. We also recommend Charles Schwab because they provide us with research, products and tools that help us manage and further develop our business operations. As a result, we do not have to pay for such benefits, which save us money; however, these arrangements create a conflict of interest. See **Item 12** of our **Form ADV Part 2A** for more information about our arrangements with Charles Schwab. We actively manage our own personal accounts while at the same time managing your accounts and other client accounts. This creates different conflicts of interest for which we have developed procedures to mitigate and control for those conflicts. For more information see **Item 11** of **Form ADV Part 2A**. We operate various private investment funds, which pay us management fees. Recommending that you invest in any of these funds can create a conflict of interest, if the management fees are greater than the fees you would be charged for other traded investments that we manage for you.

Additional Information: For more information about our conflicts of interests and the ways we are compensated, please see **Item 5** and **Item 10** of our **Form ADV Part 2A**.

How Do Your Financial Professionals Make Money?

Description of Salary/Payment of IARs: Our financial advisors are paid a fixed salary and do not have any incentive based compensation structures. All employees of Kingsbridge Wealth Management are eligible to receive a discretionary bonus, as determined by management.

Do You or Your Financial Professionals Have Legal or Disciplinary History?

No. Neither the firm, nor our investment adviser representatives have a legal or disciplinary history to report. You can look up more information about us and our investment adviser representatives at <https://www.investor.gov/CRS>.

Additional Information About Kingsbridge Wealth Management, Inc.

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

Additional information about Kingsbridge Wealth Management, Inc. is available on the Internet at www.kwm.us.com. You can also find our disclosure brochures and other information about us at <https://adviserinfo.sec.gov/firm/summary/165560>. If you would like a copy of our Form ADV Part 2A disclosure brochure and/or have any questions or want an up-to-date copy of this relationship summary, we can be reached by phone at (702) 947-5160, where you will speak to an investment advisor, who is a representative of the firm. If you have concerns about your financial advisor, you may request to speak to the Chief Compliance Officer at Kingsbridge Wealth Management.

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Kingsbridge Wealth Management, Inc.
May 2022

Summary of Changes

Item 1 - Introduction has been updated with a new link to the Form ADV Part 2A on the IARD site.

Item 4 – Disciplinary History has been updated with the addition of the word “No” at the beginning of the section.

If you have any questions about these changes, please contact your financial advisor or the Chief Compliance Officer at Kingsbridge Wealth Management.