

June 25, 2020
(Updated March of 2022)

Quantitative Process, LLC

Is registered with the Securities and Exchange Commission (SEC) as an investment advisor.

Item 1. Introduction

Investment advisory services and fees differ, and it is important for you to understand these differences. Free and simple tools are available to research firms and financial professionals at investor.gov/CRS which also provides education materials about broker-dealers, investment advisors and investing.

Item 2. Relationship and Services

What Investments Services and Advice Can You Provide Me?

We offer to retail investors non-discretionary investment advisory services. These services cover Individual Retirement Accounts, trusts and taxable accounts. Our services are limited to investment strategy, oversight and monitoring. Our recommendations are limited to the use of mutual funds and/or ETFs. We will include individual securities at the request of a client, and we will monitor the results, but we do not recommend individual securities as a part of our investment advisory services. Our monitoring of clients accounts is ongoing and formally performed after the end of each quarter. The monitoring process is included with advisory fee for services outlined in each client's advisory agreement. Clients make the ultimate decision regarding the purchase or sale of investments. We do not provide financial planning services, nor do we offer wrap fee programs.

Questions you should ask:

- Given my financial situation should I choose an investment advisory service? Why or why not?
- As my investment advisor, 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, Cost, Conflicts and Standard of Conduct

What Fees Will I Pay?

The fees we charge for advisory services are identified below. The fees will never exceed this schedule but could be less.

<u>Asset Amount</u>	<u>Annual Fee</u>
\$1,000 – \$1,000,000	1.00%
\$1,000,001 – \$3,000,000	.75%
\$3,000,001 – \$5,000,000	.50%
\$5,000,001 - \$10,000,000+	.25%

Our services require the use of TD Ameritrade (Schwab) Institutional as an account custodian. TD Ameritrade may charge transaction fees for the purchase or selling of mutual funds, ETFs and individual securities. The only exception to using TD Ameritrade is for SIMPLE retirement plans, or if we are asked to provide oversight only to non-TD Ameritrade custodial accounts.

You will pay fees and costs when you make or lose money on your investments. Fees and costs will reduce any amount of money you make on your investment over time. Please make sure you understand what fees and costs you are paying.

Questions you should ask:

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?

Example: *Annual Advisory Fee = \$100 (\$10,000 x 1.00%)*
 TD Ameritrade = \$0 set up/ \$0 annual
 Purchase of Vanguard 500 Index (VFIAX) at TD Ameritrade = \$24
 Vanguard 500 Index Adm (VFIAX) annual investment expense = \$4

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

When we act as your investment advisor, we have to act in your best interest and not put our interest ahead of yours. All revenue resulting from our advisory services flow to the Investment Advisory Representative providing the advisory services and our advisory fee applies uniformly to the client's asset value regardless of investments used. Our firm can provide retirement plan monitoring services to independent firms for a fee. To the extent that such services are provided there could be a conflict of interest if we recommend the investment products of the independent firms that engage us for monitoring services. You should understand and ask us about these conflicts because they can affect the investment advice we provide you.

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

Our advisory compensation is based solely on account balance and is not influenced or affected by the securities we recommend. A conflict of interest could exist, however, if we were to recommend investments provided by firms that engage us for retirement plan monitoring services. We do not allow the recommendation of investment products from firms that also engage us to provide retirement plan monitoring services.

How Do Your Financial Professionals Make Money?

Our Investment Advisor Representatives (IAR) make money based on the advisory fee schedule set forth in the client's Advisory Agreement. The advisory fee rate is based on a client's asset amount and that fee is calculated in quarterly increments, deducted from a client's assets and paid to the IAR after the end of each quarter. Some IARs could be insurance licensed and may receive additional compensation from the sale of insurance products. Any compensation resulting from the sale of insurance products is separate from and does not impact the investment advisory services, nor the fees for investment advisory services.

Item 4. Discipline History

Does your firm or any of your investment advisors have legal or disciplinary history?

Neither our firm nor any of our representatives have any legal or disciplinary history. Visit investor.com/CRS for a free and simple search tool to research our organization and representatives.

Item 5. Additional Information

Who is my primary contact person? Is he or she an advisor representative? Who can I talk to if I have concerns about how this person is treating me?

Your primary contact is your advisor representative. You can also contact Joseph P. Lindsley or Richard P. Rogers with concerns about your advisor representative toll free at 1-888-253-3292. Our website is www.quantpro.com and our office location is 10700 Sikes Place, Suite 395, Charlotte, NC 28277

Please refer to our Form ADV Part 2A brochure for more detailed information about our firm and services