

**Sledge and Company Wealth Advisors, LLC**

**Introduction**

Sledge and Company Wealth Advisors, LLC ("Sledge and Co.") is an investment adviser registered with the United States Securities and Exchange Commission (SEC) located in North Carolina. Registration does not imply any specific level of skill or training. Brokerage and investment advisory services and fees differ and it is important for you to understand the differences. Free and simple tools are available to research firms and financial professionals at [Investor.gov/CRS](https://investor.gov/CRS), which also provides educational materials about broker-dealers, investment advisers, and investing.

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

Sledge and Co. provides personalized wealth management and financial planning services. Clients advised may include individuals, high net worth individuals, trusts, foundations, and corporations. Generally, each client is required to place a minimum of \$500,000 with Sledge and Co.

**Asset Management**

Asset management services will generally be provided on a "discretionary" basis. When Sledge and Co. is engaged to provide asset management services on a discretionary basis, we will monitor your accounts to ensure that they are meeting your asset allocation requirements. If any changes are needed to your investments, we will make the changes. These changes may involve selling a security or group of investments and buying others or keeping the proceeds in cash. You may at any time place restrictions on the types of investments we may use on your behalf, or on the allocations to each security type. In limited circumstances and as a courtesy to some clients, Sledge and Co. may provide asset management services on a non-discretionary basis. When a client engages us to provide asset management services on a non-discretionary basis, we monitor the accounts in the same way as for discretionary services. However, under a non-discretionary arrangement, Sledge and Co. will not make changes to the clients' portfolio until and unless Sledge and Co. receives approval from the client that our proposed changes are acceptable to the client.


**Financial Planning**

Financial Planning Services are based on: financial goals and objectives, cash flow, income tax liability, retirement, educational needs, estate tax and insurance requirements. After careful review, compilation and analysis of the data supplied by the client, Sledge and Co. prepares a plan which includes alternative recommendations for future investment. Actual implementation is entirely at the discretion of the client which may require professional assistance.

For more detailed information, please refer to our Disclosure Brochure, the ADV Part 2A, under Item 4 Advisory Business and Item 7 Types of Clients available by [clicking here](#).

 ***"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?**

Sledge and Co. asset management fees range from 0.90% to 1.4% per annum of the fair market value of the portfolio. The fee range stated is a guide. Fees are negotiable, and may be higher or lower than this range, based on the nature of the account. Factors affecting fee percentages include the size of the account, complexity of asset structures, and other factors. Asset management fees will generally be debited directly from each client's account. As of the date of this brochure, the advisory fees may be paid quarterly, in arrears, and the fees shall be calculated quarterly based upon the fair market value of the portfolio (priced as of the trade date, not the settlement date) of the client assets under management by Sledge and Co. as of the last business day of the month of the quarter ended to be billed, applying the appropriate percentage and dividing the resulting amount by four.

Financial Planning services are billed on an hourly basis ranging between \$125 and \$300 per hour plus direct expenses incurred. The total fee is calculated by the number of hours times the hourly rate of the team member providing the service plus direct cost. Planning services may also be provided on a flat fee basis negotiated prior to providing the service. Full payment is due upon presentation of the plan.

There are a number of other fees that can be associated with holding and investing in securities. You will be responsible for fees including transaction fees for the purchase or sale of a mutual fund or Exchange Traded Fund, or commissions for the purchase or sale of a stock. Expenses of a fund will not be included in management fees, as they are deducted from the value of the shares by the mutual fund manager. 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 specific information regarding our fees, please refer our Disclosure Brochure, the ADV Part 2A under Item 5 Fees and Compensation available by [clicking here](#).

 ***“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? 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 are some examples to help you understand what this means.

To permit Sledge and Co. clients to have access to as many investment solutions as possible, certain professionals of Sledge and Co. are registered representatives Capital Investment Group, Inc. (CIG) a FINRA member broker-dealer. CIG is not affiliated with Sledge and Co. or considered a related party. CIG does not make investment decisions for client accounts. Registered representative status enables these professionals to receive customary commissions for the sales of various securities, including those he recommends to clients. Commissions charged for these products will not offset management fees owed to Sledge and Co. Receipt of commissions for investment products that are recommended to clients gives rise to a conflict of interest for the representative, in that the individual who will receive the commissions is also the individual that is recommending that the client purchase a given product. This conflict is disclosed to clients verbally and in this brochure. Clients are advised that they may choose to implement any investment recommendation through another broker-dealer that is not affiliated with Sledge and Co.

Certain professionals of Sledge and Co. are separately licensed as independent insurance agents. As such, these professionals may conduct insurance product transactions for Sledge and Co. clients, in their capacity as licensed insurance agents, and will receive customary commissions for these transactions in addition to any compensation received in their capacity as employees of Sledge and Co.. Commissions from the sale of insurance products will not be used to offset or as a credit against advisory fees. These professionals therefore have incentive to recommend insurance products based on the compensation to be received, rather than on a client's needs. The receipt of additional fees for insurance commissions is therefore a conflict of interest, and clients should be aware of this conflict when considering whether to engage Sledge and Co. or utilize these professionals to implement any insurance recommendations.

The Managing Member of Sledge and Co. (Jamie Sledge) is also the President of an accounting firm, Sledge and Company, PLLC (S&C). S&C may recommend Sledge and Co. to accounting clients in need of investment advisory services. Sledge and Co. may recommend S&C to advisory clients in need of accounting services. Accounting services provided by S&C are separate and distinct from the advisory services of Sledge and Co.

For more specific information regarding our fees, please refer our Disclosure Brochure, the ADV Part 2A under Item 5 Fees and Compensation and Item 10 Other Financial Industry Activities and Affiliations available by [clicking here](#).


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

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

Financial professionals of Sledge and Co. are paid a portion of the asset management fees collected from clients. Financial professionals are not rewarded sales bonuses.


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

No. Free and simple tools are available to research firms and financial professionals at [Investor.gov/CRS](https://www.investor.gov/crs).

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

**Additional Information**

Additional information about our investment advisory services can be found at [www.sledgeandco.com](http://www.sledgeandco.com). A copy of our relationship summary can also be requested by calling (336) 889-3013 or by [clicking here](#).

 ***“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?”***



= Conversation starter. Consider asking your financial professional these questions.