

Item 1 – Introduction

Marquis Wealth Management Group (“Marquis Wealth Management”, “we”, “us” or “our”) is registered with the Securities Exchange Commission (“SEC”) as registered investment adviser. Investment advisory services and compensation structures differ from that of a registered broker-dealer, and it is important that you understand the differences. Free and simple tools are available to research firms and financial professionals at Investor.gov/CRS. The site also provides educational materials about broker-dealers, investment advisers and investing.

Item 2 – Relationships and Services

What investment services and advice can you provide me?

We provide non-discretionary and/or discretionary investment advisory services which generally include financial planning and consulting services as part of our service model to individuals, business entities, pension and profit-sharing plans, trusts, estates and charitable organizations (our “retail investors” or “clients”). When a client engages us to provide non-discretionary or discretionary investment management services, we shall monitor, on a continuous basis, the investments in the accounts under management as part of our investment management service. When a client engages us on a non-discretionary basis, we are required to obtain your approval prior to proceeding with recommended transactions and portfolio repositioning and rebalancing within your account(s) consistent with your investment objectives. When a client engages us on a discretionary basis, we shall have the authority, without prior consultation with you (unless you impose restrictions on our discretionary authority), to buy, sell, trade and allocate the investments within your account(s) consistent with your investment objectives. Our discretionary authority over your account(s) shall continue until our engagement is terminated. To the extent specifically requested, we do provide stand-alone financial planning and consulting services on a stated fee or an hourly rate basis.

We may recommend that a client allocate a portion of the client’s investment assets among mutual funds, ETF’s and unaffiliated independent investment managers in accordance with the client’s investment objective(s). In such situations, the “Independent Manager” shall have day-to-day responsibility for the active discretionary management of the allocated assets. We may, on a non-discretionary basis, recommend that certain qualified clients consider an investment in unaffiliated private investment funds. Our role relative to the private investment funds shall be limited to its initial and ongoing due diligence and investment monitoring services. Clients are under no obligation to consider or make an investment in a private investment fund(s).

When a client engages us to provide financial planning and consulting services, either as part of our investment advisory services or, on a stand-alone and separate fee basis, we rely upon the information provided for our review and do not verify or monitor any such information while providing this service. For stand-alone engagements, our financial planning and consulting services are considered complete upon the communication of our final recommendations to the client. If requested by the client, we may recommend the services of other professionals for implementation purposes. We may also recommend the services of other professionals for non-investment implementation purpose (i.e. attorneys, accountants, insurance, etc.). The client retains absolute discretion over all such implementation decisions and is free to accept or reject any recommendation from Marquis Wealth Management. We generally require a minimum asset level of \$500,000 for full-service investment advisory services. In our sole discretion, we may reduce the minimum asset requirement based upon certain circumstances. **Additional Information:** For more detailed information about our *Advisory Business* and the *Types of Clients* we generally service, please see Items 4 and 7, respectively in our [ADV Part 2A](#).

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?

Item 3 – Fees, Costs, Conflicts, and Standard of Conduct

What Fees will I pay?

We may provide discretionary and/or non-discretionary investment management services to Clients on a *fee* basis. Our full-service annual investment advisory fee is based upon a percentage (%) of the market value of the assets placed under our management (“AUM”), generally between 1.50% and negotiable and will include, to the extent specifically requested by the client, financial planning and consulting services. For stand-alone engagements, our planning and consulting fees are negotiable, but generally range from \$175 to \$295 on an hourly rate basis for professional time and \$80 for administrative time, depending upon the level and scope of the service(s) required and the person(s) rendering the service(s). We may engage independent managers to separately manage a portion of a Client’s investment assets in accordance with the client’s investment objectives. We will receive an annual investment advisory fee which is based upon a percentage of the market value of the assets being managed by the designated Independent Manager(s) generally between 0.50% and 1.50%. **Please Note:** Investment management fees charged by the Independent

A copy of our Part 2A is available at: https://files.adviserinfo.sec.gov/IAPD/Content/Common/crd_iapd_Brochure.aspx?BRCHR_VRSN_ID=623454

Manager[s] are separate from, and in addition to, our advisory fee. If a client determines to become a private fund investor, the amount of assets invested in the fund(s) shall be included as part of “assets under management” for purposes of calculating your investment advisory fee.

We generally require an annual minimum fee of \$6,250; however we may, in our sole discretion, reduce the investment management fee based upon certain circumstances. Please Note: As a result, it is possible that similarly situated clients could pay different fees. Additionally, if a client maintains less than \$500,000 in AUM, and is subject to the \$6,250 minimum fee, the client will pay a higher percentage quarterly fee than the 1.5% referenced in the fee schedule at Item 5 of our Form ADV Part 2A. Our annual investment advisory fee shall be prorated and paid quarterly, in advance, based upon the market value of the assets on the last business day of the previous quarter. **Other Fees and Costs:** Your investment assets will be held with a qualified custodian. Custodians may charge brokerage commissions and/or transaction fees for effecting certain securities transactions (i.e. transaction fees are charged for certain no-load mutual funds, commissions are charged for individual equity and fixed income securities transactions). In addition, relative to all mutual fund and exchange traded fund purchases, certain charges will be imposed at the fund level (e.g. management fees and other fund expenses). Our advisory and financial planning and consulting fees shall be deducted from the Client’s custodial account. Our advisory fees, the fees charged by the funds and ETFs and any transaction charges imposed by a broker-dealer with which and when beneficial to the client, individual equity and / or fixed income transactions may be effected through broker-dealers other than the account custodian, in which event, the client generally will incur both the fee (commission, mark-up/mark-down) charged by the executing broker-dealer and a separate “trade away” and/or prime broker fee charged by the account custodian. Clients are provided, at least quarterly, with written transaction confirmation notices and regular written summary account statements directly from the broker-dealer/custodian. **Additional Information:** We do not accept performance-based fees. You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce the amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying. For more detailed information about our fees and costs related to our management of your account and other services, please see Item 5 and 12 of our [ADV Part 2A](#).

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?

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. Below is an example to help you understand what this means:

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

Additional Information: For more detailed information about our conflicts of interest, please review Items 4, 10, 11, 12 and 14 of our [ADV Part 2A](#).

How do your financial professionals make money?

Our financial advisors are compensated through a base salary and a quarterly profit share on the fee based revenue earned on the clients they work with directly. In addition, and at the end of each fiscal year, the firm partners may receive a distribution of any remaining net earnings after all firm expenses are paid. You should discuss your financial professional’s compensation directly with your financial professional.

Item 4 – Disciplinary History

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

No. However, we encourage you to visit www.Investor.gov/CRS to research our firm and our financial professionals. Furthermore, we encourage you to ask your financial professional: *As a financial professional, do you have any disciplinary history? If so, for what type of conduct?*

Item 5 – Additional Information

Additional information about Marquis Wealth Management is available on the SEC’s website at www.adviserinfo.sec.gov. You may contact our Chief Compliance Officer Richard E. Krichbaum, at any time to request a current copy of our [ADV Part 2A](#) or our *relationship summary*. Our Chief Compliance Officer may also be reached by phone: (239) 454-1117. *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?*

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