



WealthPlan Advisors

A Summary of Your Advisory Relationship with WealthPlan Advisors, LLC 06/23/2020

Item 1. Introduction

WealthPlan Advisors, LLC is registered with the U.S. Securities and Exchange Commission (“SEC”) as an investment adviser. Clients and prospective clients should be aware that brokerage and investment advisory services and fees differ, and it is important for retail investors to understand the differences. Free and simple tools are available to research advisory firms like us at investor.gov/CRS, which 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?

Services: We generally offer our retail investors two types of advisory services: financial planning and individual portfolio management services. Our role as financial planners is to help you understand your overall financial situation and help you set your financial objectives through investments, tax planning, asset allocation, risk management, retirement planning, and other areas. Financial planning services do not involve the active management of accounts, but instead focus on your overall financial situation. We provide investment advice in the form of individual portfolio management services. When you grant us **discretionary** authority, you provide us the authority to determine the investments to buy or sell in your account on an ongoing basis. Individual portfolio management services also involve providing you with continuous and on-going supervision over your accounts. This means that we will continuously monitor your account(s) and make trades in your accounts when appropriate. You will have the opportunity to place reasonable written restrictions on the types of investments to be held in the portfolio and should notify us in writing of any changes in your financial status, investment objectives, policies, or restrictions. In cases where we have **non-discretionary** trading authority, you are responsible for making your own trading decisions.

Requirements to open and maintain an account: Our recommended minimum investment amount for establishing an account is \$500,000. Exceptions may be granted to these minimums under certain circumstances.

ADDITIONAL INFORMATION: Additional information can be found in our Form ADV, Part 2A, Items 4, 7, 8, 12, & 13 available at https://files.adviserinfo.sec.gov/IAPD/Content/Common/crd_iapd_Brochure.aspx?BRCHR_VRSN_ID=622318

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?

Principal Fees and Costs: We are generally compensated for our investment advisory services as a percentage of the value of your accounts we are managing (charged quarterly in advance). The annual management fee charged for this is 1.00% on the first \$1,000,000 and 0.70% on assets above \$1,000,000. The charge for our financial planning service is determined based on the nature of the services being provided and the complexity of each client’s circumstances. A fixed fee range may be charged between \$4,000 and \$100,000. In addition, an hourly fee rate between \$250 and \$500 may apply depending on the services provided. Fees you pay us for investment advisory services are separate and distinct from other fees and expenses charged to your accounts and investments, such as brokerage, custodial, trading, account maintenance, costs of the investment and related fees. The more assets there are in your advisory account, the more you will pay in fees, and we may therefore have an incentive to encourage you to increase the assets in your account. 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: For more information, please visit and see Items 5-6 & 12 in Form ADV, Part 2A, available at https://files.adviserinfo.sec.gov/IAPD/Content/Common/crd_iapd_Brochure.aspx?BRCHR_VRSN_ID=622318

Conversation Starter - "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?"

Standard of Conduct/Conflicts of Interest

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.

Our firm recommends Charles Schwab & Co. or Raymond James Financial Services as custodian of your assets. We receive some economic benefits from Charles Schwab & Co. and Raymond James Financial Services in the form of the support products and services made available to us and other independent investment advisers that have their clients maintain accounts at Charles Schwab & Co. or Raymond James Financial Services. In light of our arrangements with these custodians, a conflict of interest exists between our interests and yours because we have incentive to recommend these custodians based on the benefits we receive rather than yours, which include receiving the best value in custody services and the most favorable execution of transactions.

We are fiduciaries to you. That means we are required to act in your best interest throughout our entire advisory relationship.

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

ADDITIONAL INFORMATION: For more information on conflicts of interest, see Items 4, 9, 10, 11, 12 and 14 of our Form ADV, Part 2, available at https://files.adviserinfo.sec.gov/IAPD/Content/Common/crd_iapd_Brochure.aspx?BRCHR_VRSN_ID=622318

How do your financial professionals make money?

Our financial professionals receive a salary and bonuses based on assets under management, performance and the profitability of the firm. Each adviser has the incentive to keep costs low to maximize client returns and the amount of assets under management.

Item 4: Disciplinary History

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

No. For more information, please visit Investor.gov/CRS for free and simple search tool to research us and our financial professionals.

Conversation Starter - As a financial professional, do you have any disciplinary history? For what type of conduct?

Item 5: Additional Information

If you have any questions about our investment advisory services or if you wish to request a copy of the relationship summary, please contact us at rhorton@wealthplanadvisor.com. Additional information about us is also available on the SEC's website at investor.gov/CRS. You can also call us at 480-505-0234 for up-to-date information and request a copy of the relationship summary.

Conversation Starter - 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 his person is treating me?