



**Lewis Wealth Management**

**Part 2A of Form ADV - Firm Brochure  
&  
Part 2B of Form ADV - Brochure Supplement**

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**Part 2A of Form ADV: Firm Brochure  
Item 1: Cover Page  
March 2021**

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**Lewis Wealth Management, LLC  
8480 E. Orchard Road, Suite 5550  
Greenwood Village, CO 80111  
[www.lewiswm.com](http://www.lewiswm.com)**

**Firm Contact:  
D. Austin Lewis  
Chief Compliance Officer**

This brochure provides information about the qualifications and business practices of Lewis Wealth Management, LLC. Below, please find our responses to the required questions (underlined), as required by the Colorado Department of Regulatory Agencies.

If you have any questions about this brochure, please call us at 855-353-3800 or drop us an e-mail at [austin@lewiswm.com](mailto:austin@lewiswm.com). The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission or by any state securities authority.

Additional information about Lewis Wealth Management, LLC is available on the SEC's website: [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov), and our website: [www.LewisWM.com](http://www.LewisWM.com). CRD # 152800.

Please note that the use of the term "registered investment adviser" and description of Lewis Wealth Management, LLC and/or our associates as "registered" does not imply a certain level of skill or training. You are encouraged to review this brochure and any supplements for more information on the qualifications of our firm and its employees.

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## **Item 2: Material Changes to Our Part 2A of Form ADV: Firm Brochure**

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Lewis Wealth Management, LLC is required to advise you of any material changes to our Firm Brochure ("Brochure") from our last annual update, identify those changes on the cover page of our Brochure or on the page immediately following the cover page, or in a separate communication accompanying our Brochure.

Since our last annual amendment filing on 02/11/2020, our firm has the following material changes to disclose:

- Our firm has received and taken out the PPP Loan in order to supplement our payroll during the COVID-19 pandemic. Since then, the PPP Loan was forgiven on 02/09/2021.

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### Item 3: Table of Contents

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Item 1: Cover Page .....	2
Item 2: Material Changes to Our Part 2A of Form ADV: Firm Brochure.....	3
Item 3: Table of Contents .....	4
Item 4: Advisory Business.....	5
Item 5: Fees & Compensation.....	6
Item 6: Performance-Based Fees & Side-By-Side Management.....	7
Item 7: Types of Clients & Account Requirements .....	8
Item 8: Methods of Analysis, Investment Strategies & Risk of Loss .....	8
Item 9: Disciplinary Information.....	10
Item 10: Other Financial Industry Activities & Affiliations.....	10
Item 11: Code of Ethics, Participation or Interest in Client Transactions & Personal Trading.....	10
Item 12: Brokerage Practices .....	11
Item 13: Review of Accounts or Financial Plans.....	14
Item 14: Client Referrals & Other Compensation.....	15
Item 15: Custody .....	15
Item 16: Investment Discretion.....	15
Item 17: Voting Client Securities.....	16
Item 18: Financial Information.....	16
Item 19: Requirements for State-Registered Advisers .....	16
Part 2B of Form ADV: Brochure Supplement.....	18

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## **Item 4: Advisory Business**

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We specialize in the following types of services: investment management, financial planning, and consulting. As of December 31, 2020, our assets under management were \$49,000,000.

We are dedicated to providing clients with a full array of wealth management services. We are a limited liability company formed in the State of Colorado and have been in business as an investment adviser since January 2010. The firm is wholly owned by D. Austin Lewis.

### **Description of the Types of Advisory Services We Offer**

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#### **Investment Management:**

We emphasize continuous and regular account supervision. As part of our investment management service, we generally create a portfolio, consisting of mutual funds, exchange traded funds (“ETFs”), individual stocks or bonds, options, and other public and private securities and investments. Each client’s investment strategy and portfolio is tailored to meet their goals and objectives and may include some or all of these securities and investments. Each portfolio contains securities and investments that we determine to be suitable for the client’s circumstances. Once the appropriate portfolio has been determined, we review the portfolio at least quarterly, and if necessary, rebalance the portfolio based upon the client’s stated goals and objectives. Each client may place reasonable restrictions on the types of investments to be held in their portfolio.

#### **Financial Planning and Consulting - Projects:**

We provide a variety of financial planning and consulting services to our clients. These services are based upon an analysis of the client’s current situation as well as their goals and objectives. In most cases, this analysis will culminate with the preparation of a written financial plan for the client. In other cases, this analysis will be used while consulting with the client and will not include a written financial plan. This depends on the scope of the engagement with the client. Please see Item 5 in this Brochure for more information.

Our financial planning and consulting services may encompass one or more of the following areas: investment planning, retirement planning, estate planning, charitable planning, education planning, tax planning, and insurance analysis.

Further, our financial planning and consulting services will include recommendations for the client. These recommendations may include that clients follow a savings and investment program, create or revise an estate plan, obtain or revise insurance coverage, or establish an education savings plan or charitable giving program.

When appropriate, we refer clients to accountants, attorneys, and other specialists as needed to implement our recommendations, or for further consultation or services.

If the scope of the client engagement includes a written financial plan, it will include a written summary of the client’s current financial situation, and a recommended course of action. If a written financial plan is not included in the engagement, a written summary is not provided. Instead, recommendations will be communicated to the client during meetings with their advisor. Financial planning and consultation services are typically completed within six (6) months of the

engagement, provided that all the necessary information we request from the client is provided promptly. Implementation of any recommendations will be at the discretion of the client.

### **Tailoring of Advisory Services**

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We offer individualized advice to clients on a wide variety of wealth management issues, including investment management, financial planning and consulting.

Typically, clients do not impose restrictions on our investment management activities as this could pose difficulties in managing their account. That being said, we do occasionally accommodate reasonable client restrictions regarding investment management on a case-by-case basis so long as we believe that these restrictions are in the best interest of the client.

### **Participation in Wrap Fee Programs**

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We do not offer wrap fee programs.

### **Regulatory Assets Under Management**

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As of December 31, 2020, we manage \$49,000,000 on a discretionary basis and \$0 on a non-discretionary basis.

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## **Item 5: Fees & Compensation**

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We are required to describe the fees you will be charged and by whom. Our fee schedule is set forth herein. We reserve the right to negotiate fees on a case-by-case basis.

### **How We Are Compensated for Our Advisory Services**

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#### **Investment Management - Annual Advisory Fees**

The amount of our fee depends upon the assets under management in your account(s). This level of engagement includes regular account supervision, regular meetings with the advisor, and a written financial plan.

<b>Assets Under Management</b>	<b>Annual Percentage</b>
First \$1 million	1.25%
Next \$1 million to \$2.5 million	1.00%
Next \$2.5 million to \$5 million	0.80%
Next \$5 million to \$10 million	0.70%
\$10 million to \$25 million	0.60%
More than \$25 million	0.50%

Our firm's fees are billed on a pro-rata annualized basis quarterly in advance based on the value of your account(s) on the last day of the previous quarter. Fees will generally be automatically deducted from our clients' managed accounts. In rare cases, we may agree to directly bill clients. As part of this process, the client understands and acknowledges the following:

- a) Clients must provide our firm with written authorization permitting direct payment of advisory fees from their account(s) maintained by a custodian who is independent of our firm;
- b) Our firm sends quarterly statements to the client showing the fee amount, the value of the assets upon which the fee is based, and the specific manner in which the fee is calculated as well as disclosing that it is the client's responsibility to verify the accuracy of fee calculation, and that the custodian does not determine its accuracy; and
- c) The account custodian sends a statement to the client, at least quarterly, showing all account disbursements, including advisory fees.

Our firm charges a minimum advisory fee of \$5,000 per year (or \$1,250 quarterly), however, the minimum fee will not exceed 3% of assets under management.

### **Financial Planning & Consulting- Project Fees**

Clients may engage advisor on a project basis. The advisor's fee for work on a project basis is \$250 per hour. Any project fees that advisor believes will require more than two hours to complete will require the advance retainer of \$500 with the balance due upon the rendering of the service. In all cases, we will not require a retainer exceeding \$500 when services cannot be rendered within six months.

### **Other Types of Fees & Expenses**

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Clients will incur transaction charges for trades executed in their accounts. These transaction fees are separate from our fees and will be disclosed by the firm that the trades are executed through. Charles Schwab & Co., Inc. ("Schwab"), does not charge transaction fees for U.S. listed equities and exchange traded funds.

Also, clients will pay the following separately incurred expenses, which we do not receive any part of: charges imposed directly by a mutual fund, index fund, or exchange traded fund which shall be disclosed in the fund's prospectus (i.e., fund management fees and other fund expenses).

### **Termination & Refunds**

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We charge our advisory fees quarterly in advance. In the event that you wish to terminate our services, we will refund the unearned portion of our advisory fee to you. You need to contact us in writing and state that you wish to terminate our services. Upon receipt of your letter of termination, we will proceed to close out your account and process a pro-rata refund of unearned advisory fees.

### **Commissionable Securities Sales**

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We do not sell securities for a commission in our advisory accounts.

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## **Item 6: Performance-Based Fees & Side-By-Side Management**

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We do not accept performance-based fees.

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## Item 7: Types of Clients & Account Requirements

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We have the following types of clients:

- Individuals and High Net Worth Individuals;
- Trusts, Estates or Charitable Organizations;
- Corporations, Limited Liability Companies and/or Other Business Types.

While there is no required minimum level of assets under management, the minimum advisory fee is \$5,000 per year (\$1,250 per quarter), but shall not exceed 3% of the assets under management.

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## Item 8: Methods of Analysis, Investment Strategies & Risk of Loss

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### Methods of Analysis

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We use the following methods of analysis in formulating our investment advice and/or managing client assets:

- **Cyclical Analysis:** In this type of technical analysis, we measure the movements of a particular security or asset class against the overall market in an attempt to predict the price movement of the security or asset class. This presents a risk here in that these predictions may or may not be accurate.
- **Fundamental Analysis:** We attempt to measure the intrinsic value of a security or asset class by looking at economic and financial factors (including the overall economy, industry conditions, and the financial condition and management of the company itself) to determine if a company or asset class is underpriced (indicating it may be a good time to buy or otherwise rebalance a portfolio) or overpriced (indicating it may be time to sell or otherwise rebalance a portfolio). Fundamental analysis does not attempt to anticipate market movements. This presents a potential risk, as the price of a security or asset class can move up or down along with the overall market regardless of the economic and financial factors considered in evaluating the stock.
- **Technical Analysis:** We analyze past market movements and apply that analysis to the present in an attempt to recognize recurring patterns of investor behavior and potentially predict future price movement. Technical analysis does not consider the underlying financial condition of a company or asset class. This presents a risk in that a poorly-managed or financially unsound company may underperform regardless of market movement.

### Investment Strategies We May Use

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We may use the following strategies in managing client accounts, provided that such strategies are appropriate for the needs of the client and consistent with the client's investment objectives, risk tolerance, and time horizons, among other considerations:

- **Long-Term Purchases:** When utilizing this strategy, we may purchase securities with the idea of holding them for a relatively long time (typically held for at least a year). A risk in a long-term purchase strategy is that by holding the security for this length of time, we may not take advantages of short-term gains that could be profitable to a client. Moreover, if our predictions are incorrect, a security may decline sharply in value before we make the



decision to sell. Typically, we employ this sub-strategy when we believe the securities to be well valued; and/or we want exposure to a particular asset class over time, regardless of the current projection for this class.

- **Trading:** We purchase securities with the idea of selling them very quickly (typically within 30 days or less). We do this in an attempt to take advantage of our predictions of brief price swings.
- **Margin Transactions:** We have the ability to purchase stocks for your portfolio with money borrowed from your brokerage account. This allows you to purchase more stock than you would be able to with your available cash, and allows us to purchase stock without selling other holdings.
- **Option Writing:** We may use options as an investment strategy. An option is a contract that gives the buyer the right, but not the obligation, to buy or sell an asset (such as a share of stock) at a specific price on or before a certain date. An option, just like a stock or bond, is a security. An option is also a derivative, because it derives its value from an underlying asset. The two types of options are calls and puts:
  - A *call* gives us the right to buy an asset at a certain price within a specific period of time. We will buy a call if we have determined that the stock will increase substantially before the option expires.
  - A *put* gives us the holder the right to sell an asset at a certain price within a specific period of time. We will buy a put if we have determined that the price of the stock will fall before the option expires.

We will use options to "hedge" a purchase of the underlying security; in other words, we will use an option purchase to limit the potential upside and downside of a security we have purchased for your portfolio. We use "covered calls", in which we sell an option on security you own. In this strategy, you receive a fee for making the option available, and the person purchasing the option has the right to buy the security from you at an agreed-upon price. We use a "spreading strategy", in which we purchase two or more option contracts (for example, a call option that you buy and a call option that you sell) for the same underlying security. This effectively puts you on both sides of the market, but with the ability to vary price, time and other factors.

### **Risk of Loss**

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Investing in securities involves a risk of loss that clients should be prepared to bear. While securities in the capital markets may increase and your account(s) could enjoy a gain, it is also possible that these securities may decrease and your account(s) could suffer a loss. It is important that you understand the risks associated with investing in securities, which you are appropriately diversified, and continue to ask us any questions you may have.

### **Description of Material, Significant or Unusual Risks**

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We generally invest client's cash balances in money market funds, FDIC Insured Certificates of Deposit, high-grade commercial paper and/or government backed debt instruments, or mutual funds that invest in these instruments or securities. Ultimately, we try to achieve the highest return on our client's cash balances through relatively low-risk conservative investments. In most cases, at

least a partial cash balance will be maintained in a money market type account or position so that our firm may debit advisory fees for our services related to Investment Management.

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### **Item 9: Disciplinary Information**

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There are no legal or disciplinary events that are material to the evaluation of our advisory business or the integrity of our management.

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### **Item 10: Other Financial Industry Activities & Affiliations**

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Austin Lewis is licensed attorney in the State of Colorado and the State of California. Legal services are not offered through our firm. Should a client of our firm require legal services, they will be referred to a separate attorney. Our firm will not receive any additional compensation for these referrals.

While we may recommend other investment advisors to our clients, we do not receive any compensation for doing so. Please see Item 4 of this Brochure.

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### **Item 11: Code of Ethics, Participation or Interest in Client Transactions & Personal Trading**

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An investment adviser is considered a fiduciary and our firm has a fiduciary duty to all clients. As a fiduciary, it is an investment adviser's responsibility to provide fair and full disclosure of all material facts and to act solely in the best interest of each of our clients at all times. Our fiduciary duty is considered the core underlying principle for our Code of Ethics, which also includes Insider Trading and Personal Securities Transactions Policies and Procedures. If a client or a potential client wishes to review our Code of Ethics, a copy will be provided upon request.

We recognize that the personal investment transactions of members and employees of our firm demand the application of a high Code of Ethics and require that all such transactions be carried out in a way that does not endanger the interest of any client. At the same time, we believe that if investment goals are similar for clients and for members and employees of our firm, it is logical and even desirable that there be common ownership of some securities.

Therefore, in order to prevent conflicts of interest, we have in place a set of procedures (including a pre-clearing procedure) with respect to transactions effected by our members, officers and employees for their personal accounts<sup>1</sup>. In order to monitor compliance with our personal trading policy, we have a quarterly securities transaction reporting system for all of our associates. Upon employment or affiliation and at least annually thereafter, all supervised persons will sign an acknowledgement that they have read, understand, and agree to comply with our Code of Ethics.

Neither our firm nor a related person recommends to clients, or buys or sells for client accounts, securities in which our firm or a related person has a material financial interest. Related persons of

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<sup>1</sup> For purposes of the policy, our associate's personal account generally includes any account (a) in the name of our associate, his/her spouse, his/her minor children or other dependents residing in the same household, (b) for which our associate is a trustee or executor, or (c) which our associate controls, including our client accounts which our associate controls and/or a member of his/her household has a direct or indirect beneficial interest in.

our firm may buy or sell securities and other investments that are also recommended to clients. In order to minimize this conflict of interest, our related persons will place client interests ahead of their own interests and adhere to our firm's Code of Ethics. Further, our related persons will refrain from buying or selling the same securities prior to buying or selling for our clients in the same day. If related persons' accounts are included in a block trade, our related persons' accounts will be traded in the same manner every time.

Our firm and supervised persons must conduct business in an honest, ethical, and fair manner and avoid all circumstances that might negatively affect or appear to affect our duty of complete loyalty to all clients. This disclosure is provided to give all clients a summary of our Code of Ethics.

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## Item 12: Brokerage Practices

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### Custodian & Brokers Used

Our firm does not maintain custody of client assets (although our firm may be deemed to have custody of client assets if given the authority to withdraw assets from client accounts (see *Item 15 Custody*, below). Client assets must be maintained in an account at a "qualified custodian," generally a broker-dealer or bank. Our firm recommends that clients use Charles Schwab & Co., Inc. ("Schwab"), a FINRA-registered broker-dealer, member SIPC, as the qualified custodian. Our firm is independently owned and operated, and not affiliated with Schwab. Schwab will hold client assets in a brokerage account and buy and sell securities when instructed. While our firm recommends that clients use Schwab as custodian/broker, clients will decide whether to do so and open an account with Schwab by entering into an account agreement directly with them. Our firm does not open the account. Even though the account is maintained at Schwab, our firm can still use other brokers to execute trades, as described in the next paragraph.

### How Brokers/Custodians Are Selected

Our firm seeks to recommend a custodian/broker who will hold client assets and execute transactions on terms that are overall most advantageous when compared to other available providers and their services. A wide range of factors are considered, including, but not limited to:

- combination of transaction execution services along with asset custody services (generally without a separate fee for custody)
- capability to execute, clear and settle trades (buy and sell securities for client accounts)
- capabilities to facilitate transfers and payments to and from accounts (wire transfers, check requests, bill payment, etc.)
- breadth of investment products made available (stocks, bonds, mutual funds, exchange traded funds (ETFs), etc.)
- availability of investment research and tools that assist in making investment decisions
- quality of services
- competitiveness of the price of those services (commission rates, margin interest rates, other fees, etc.) and willingness to negotiate them
- reputation, financial strength and stability of the provider
- prior service to our firm and our other clients
- availability of other products and services that benefit our firm, as discussed below (see "*Products & Services Available from Schwab*")

## **Custody & Brokerage Costs**

Schwab generally does not charge a separate fee for custody services but is compensated by charging commissions or other fees to clients on trades that are executed or that settle into the Schwab account. For some accounts, Schwab may charge your account a percentage of the dollar amount of assets in the account in lieu of commissions. Schwab's commission rates and/or asset-based fees applicable to client accounts were negotiated based on our firm's commitment to maintain a minimum threshold of assets in accounts at Schwab. This commitment benefits clients because the overall commission rates and/or asset-based fees paid are lower than they would be if our firm had not made the commitment. In addition to commissions or asset-based fees Schwab charges a flat dollar amount as a "prime broker" or "trade away" fee for each trade that our firm has executed by a different broker-dealer but where the securities bought or the funds from the securities sold are deposited (settled) into a Schwab account. These fees are in addition to the commissions or other compensation paid to the executing broker-dealer. Because of this, in order to minimize client trading costs, our firm has Schwab execute most trades for the accounts.

## **Products & Services Available from Schwab**

Schwab Advisor Services (formerly called Schwab Institutional) is Schwab's business serving independent investment advisory firms like our firm. They provide our firm and clients with access to its institutional brokerage – trading, custody, reporting and related services – many of which are not typically available to Schwab retail customers. Schwab also makes available various support services. Some of those services help manage or administer our client accounts while others help manage and grow our business. Schwab's support services are generally available on an unsolicited basis (our firm does not have to request them) and at no charge. Here is a more detailed description of Schwab's support services:

### **Services that Benefit Clients**

Schwab's institutional brokerage services include access to a broad range of investment products, execution of securities transactions, and custody of client assets. The investment products available through Schwab include some to which our firm might not otherwise have access or that would require a significantly higher minimum initial investment by firm clients. Schwab's services described in this paragraph generally benefit clients and their accounts.

### **Services that May Not Directly Benefit Clients**

Schwab also makes available other products and services that benefit our firm but may not directly benefit clients or their accounts. These products and services assist in managing and administering our client accounts. They include investment research, both Schwab's and that of third parties. This research may be used to service all or some substantial number of client accounts, including accounts not maintained at Schwab. In addition to investment research, Schwab also makes available software and other technology that:

- provides access to client account data (such as duplicate trade confirmations and account statements);
- facilitates trade execution and allocate aggregated trade orders for multiple client accounts;
- provides pricing and other market data;
- facilitates payment of our fees from our clients' accounts; and
- assists with back-office functions, recordkeeping and client reporting.

## **Services that Generally Benefit Only Our Firm**

Schwab also offers other services intended to help manage and further develop our business enterprise. These services include:

- educational conferences and events
- technology, compliance, legal, and business consulting;
- publications and conferences on practice management and business succession; and
- access to employee benefits providers, human capital consultants and insurance providers.

Schwab may provide some of these services itself. In other cases, Schwab will arrange for third-party vendors to provide the services to our firm. Schwab may also discount or waive fees for some of these services or pay all or a part of a third party's fees. Schwab may also provide our firm with other benefits, such as occasional business entertainment for our personnel.

Irrespective of direct or indirect benefits to our client through Schwab, our firm strives to enhance the client experience, help clients reach their goals and put client interests before that of our firm or associated persons.

## **Soft Dollars**

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Although the investment research products and services that may be obtained by our firm will generally be used to service all of our clients, a brokerage commission paid by a specific client may be used to pay for research that is not used in managing that specific client's account.

Our firm does not accept products or services that do not qualify for Safe Harbor outlined in Section 28(e) of the Securities Exchange Act of 1934, such as those services that do not aid in investment decision-making or trade execution.

## **Client Brokerage Commissions**

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Schwab does not make client brokerage commissions generated by client transactions available for our firm's use.

## **Procedures to Direct Client Transactions in Return for Soft Dollars**

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Our firm does not direct client transactions to a particular broker-dealer in return for soft dollar benefits.

## **Brokerage for Client Referrals**

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Our firm does not receive brokerage for client referrals.

## **Directed Brokerage**

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Our firm allows clients to direct brokerage outside our recommendation. Our firm may be unable to achieve the most favorable execution of client transactions. Client directed brokerage may cost clients more money. For example, in a directed brokerage account, clients may pay higher brokerage commissions because our firm may not be able to aggregate orders to reduce transaction costs, or clients may receive less favorable prices.

## **Permissibility of Client-Directed Brokerage**

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We do not allow client-directed brokerage outside our custodial recommendations.

## **Special Considerations for ERISA Clients**

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A retirement or ERISA plan client may direct all or part of portfolio transactions for its account through a specific broker or dealer in order to obtain goods or services on behalf of the plan. Such direction is permitted provided that the goods and services provided are reasonable expenses of the plan incurred in the ordinary course of its business for which it otherwise would be obligated and empowered to pay. ERISA prohibits directed brokerage arrangements when the goods or services purchased are not for the exclusive benefit of the plan. Consequently, we will request that plan sponsors who direct plan brokerage provide us with a letter documenting that this arrangement will be for the exclusive benefit of the plan.

## **Aggregation of Purchase or Sale**

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We perform investment management services for various clients. There are occasions on which portfolio transactions may be executed as part of concurrent authorizations to purchase or sell the same security for numerous accounts served by our firm, which involve accounts with similar investment objectives. Although such concurrent authorizations potentially could be either advantageous or disadvantageous to any one or more particular accounts, they are affected only when we believe that to do so will be in the best interest of the effected accounts. When such concurrent authorizations occur, the objective is to allocate the executions in a manner which is deemed equitable to the accounts involved. In any given situation, we attempt to allocate trade executions in the most equitable manner possible, taking into consideration client objectives, current asset allocation and availability of funds using price averaging, proration and consistently non-arbitrary methods of allocation.

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## **Item 13: Review of Accounts or Financial Plans**

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We review accounts on at least a quarterly basis for our clients subscribing to our investment management service. The nature of these reviews is to learn whether clients' accounts are consistent with their investment objectives, appropriately positioned based on market conditions and investment policies, if applicable. Only our advisors or portfolio managers will conduct reviews.

Financial planning and consulting clients do not receive reviews of their written plans unless they take action to schedule a financial consultation with us. We do not provide ongoing services to financial planning and consulting clients, but are willing to meet with such clients upon their request to discuss updates to their plans, changes in their circumstances, etc.

We may review client accounts more frequently than described above. Among the factors which may trigger an off-cycle review are major market, or economic events, changes in client circumstance, or as requested by the client, etc.

For investment management clients, we provide written reports to clients on a quarterly basis. These reports include the performance of their accounts, their asset allocation and holdings. This will depend upon the engagement terms between the manager and the client.

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## Item 14: Client Referrals & Other Compensation

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### Schwab Advisor Services

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Our firm receives economic benefit from Schwab in the form of the support products and services made available to our firm and other independent investment advisors that have their clients maintain accounts at Schwab. These products and services, how they benefit our firm, and the related conflicts of interest are described above (*see Item 12 – Brokerage Practices*). The availability of Schwab's products and services is not based on our firm giving particular investment advice, such as buying particular securities for our clients.

### Referral Fees

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Except as noted below, we do not pay referral fees to anyone who is not an employee for the referral of their clients to our firm. We do continue to pay Schwab a referral fee relating to several clients that transferred their business from a prior firm who was a member of the Schwab Advisor Network.

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## Item 15: Custody

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We do not have custody of client funds or securities. State Securities Bureaus, or their equivalents, generally take the position that any arrangement under which a registered investment adviser is authorized or permitted to withdraw client funds or securities maintained with a custodian upon the adviser's instruction to the custodian is deemed to have custody of client funds and securities. As such, we have adopted the following safeguarding procedures:

- 1) Clients must provide our firm with written authorization permitting direct payment of advisory fees from their account(s) maintained by a custodian who is independent of our firm;
- 2) Our firm sends quarterly statements to the client showing the fee amount, the value of the assets upon which the fee is based, and the specific manner in which the fee is calculated as well as disclosing that it is the client's responsibility to verify the accuracy of fee calculation, and that the custodian does not determine its accuracy; and
- 3) The account custodian sends a statement to the client, at least quarterly, showing all account disbursements, including advisory fees.

We encourage our clients to raise any questions with us about the custody, safety or security of their assets. The custodians we do business with will send you independent account statements listing your account balance(s), transaction history and any fee debits or other fees taken out of your account.

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## Item 16: Investment Discretion

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As a condition to becoming an investment management client of our firm, our clients are required to sign a discretionary investment advisory agreement regarding the management of their account(s). By granting investment discretion, we are authorized to execute securities transactions, which securities are bought and sold, and the total amount to be bought and sold. Our clients may



place reasonable limitations on our authority so long as this arrangement is approved by us and is documented in the advisory agreement.

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### **Item 17: Voting Client Securities**

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We do not accept proxy authority to vote client securities. Clients will receive proxies or other solicitations directly from their custodian or a transfer agent. Therefore, clients are responsible for: (1) voting all proxies solicited by issuers of securities beneficially owned by the client, and (2) making all elections relative to any mergers, acquisitions, tender offers, bankruptcy proceedings or other type events pertaining to the client's investment assets. Clients may call, write or email us to discuss questions they may have about particular proxy votes or other solicitations.

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### **Item 18: Financial Information**

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We are not required to provide financial information in this Brochure because we do not require the prepayment of more than \$500 in fees six or more months in advance; we do not take custody of client funds or securities and we do not have a financial condition or commitment that impairs our ability to meet contractual and fiduciary obligations to clients. We have never been the subject of a bankruptcy proceeding.

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### **Item 19: Requirements for State-Registered Advisers**

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#### **Principal Executive Officers & Management Persons**

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##### **D. Austin Lewis**

**Year of Birth:** 1964

##### **Educational Background:**

- 1992: Marquette University Law School; J.D.
- 1989: San Francisco State University; M.B.A. with an emphasis in Finance
- 1986: University of Colorado, Leeds School of Business; B.S. in Business Administration with an emphasis in Finance.

##### **Business Background:**

- 01/2010 – Present                      Lewis Wealth Management; President & Chief Compliance Officer
- 03/2006 – 01/2010                      Wagner Wealth Management; Investment Adviser Representative
- 05/2004 – 03/2006                      Qwest Communications; Senior Attorney
- 03/2002 – 12/2003                      Graphic Packaging Corporation; Title
- 11/2000 – 03/2002                      Qwest Communication; Senior Attorney
- 03/1995 – 09/2000                      Craigie, McCarthy & Clow; Associate Attorney
- 09/1992 – 03/1995                      Gordon & Rees, LLP; Associate Attorney

##### **Exams, Licenses & Other Professional Designations:**

- 03/2009: Certified Financial Planner
- 04/2006: Series 65 Exam
- 12/2000: Colorado Bar



- 11/1992: California Bar

We are not actively engaged in any other business other than giving investment advice nor do we charge or accept performance-based fees. Our firm and management persons have not been the subject of any arbitration awards, found liable in any civil, self-regulatory organization or administrative proceedings or have any relationships with issuers of securities apart from what is disclosed above. Our firm does not have compensation arrangements connected with advisory services which are in addition to our advisory fees. Our management persons and representatives do not engage in other financial industry activities or affiliations. As a fiduciary, we always put our Client's interest above our own. Information regarding participation of interest in client transactions can be found in our Code of Ethics as well as Item 11 of this Brochure. You may obtain a copy of our Code of Ethics by contacting Mr. Lewis, Chief Compliance Officer at (855) 353-3800.

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**Item 1: Cover Page for Part 2B of Form ADV:  
Brochure Supplement  
March 2021**

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**Mr. D. Austin Lewis**

**8480 E. Orchard Road,  
Suite 5550  
Greenwood Village, CO 80111  
[www.lewiswm.com](http://www.lewiswm.com)**

**Firm Contact:  
D. Austin Lewis  
Chief Compliance Officer  
(855) 353-3800**

This brochure supplement provides information about Mr. Lewis that supplements our brochure. You should have received a copy of that brochure. Please contact Mr. Lewis if you did not receive Lewis Wealth Management, LLC's brochure or if you have any questions about the contents of this supplement.

Additional information about Mr. Lewis is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

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## Item 2: Educational Background & Business Experience

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### D. Austin Lewis (CRD # 5147696)

Year of Birth: 1964

#### Educational Background:

- 1992: Marquette University Law School; J.D.
- 1989: San Francisco State University; M.B.A. with an emphasis in Finance
- 1986: University of Colorado, Leeds School of Business; B.S. in Business Administration with an emphasis in Finance.

#### Business Background:

- 01/2010 – Present Lewis Wealth Management; President & Chief Compliance Officer
- 03/2006 – 01/2010 Wagner Wealth Management; Investment Adviser Representative
- 05/2004 – 03/2006 Qwest Communications; Senior Attorney
- 03/2002 – 12/2003 Graphic Packaging Corporation; Title
- 11/2000 – 03/2002 Qwest Communication; Senior Attorney
- 03/1995 – 09/2000 Craigie, McCarthy & Clow; Associate Attorney
- 09/1992 – 03/1995 Gordon & Rees, LLP; Associate Attorney

#### Exams, Licenses & Other Professional Designations:

- 03/2009: Certified Financial Planner
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- 12/2000: Colorado Bar
- 11/1992: California Bar

CERTIFIED FINANCIAL PLANNER™ (CFP®) certification is obtained by completing an advanced college-level course of study addressing the financial planning subject areas that the CFP board's studies have determined as necessary for the competent and professional delivery of financial planning services, a comprehensive certification exam (administered in 10 hours over a 2 day period) and agreeing to be bound by the CFP board's standard of professional conduct. As a prerequisite the IAR must have a bachelor's degree from a regionally accredited United States college or university (or foreign university equivalent) and have at least 3 years of full time financial planning experience (or equivalent measured at 2,000 hours per year). This designation requires 30 hours of continuing education every 2 years and renewing an agreement to be bound by the standards of professional conduct.

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## Item 3: Disciplinary Information

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There are no legal or disciplinary events material to the evaluation of Mr. Lewis.

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## Item 4: Other Business Activities

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Mr. Lewis does not have any outside business activities to disclose.

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### **Item 5: Additional Compensation**

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Mr. Lewis does not receive any other economic benefit for providing advisory services in addition to advisory fees.

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### **Item 6: Supervision**

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Mr. Lewis is the sole principal and Chief Compliance Officer and as such has no internal supervision placed over him. He is, however, bound by our firm's Code of Ethics.

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### **Item 7: Requirements for State-Registered Advisers**

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Mr. Lewis has not been involved in any arbitration claims. Furthermore, he has neither been involved in nor found liable in any civil, self-regulatory organization, or administrative proceeding nor has been the subject of any bankruptcy petitions.