

# AEGIS

Wealth Advisors LLC



## **Firm Brochure (Part 2A of Form ADV)**

March 30, 2017

Aegis Wealth Advisors, LLC

1208 State Road 83

Hartland, WI 53029

Phone: 262.369.5200

Fax: 262.922.4208

tims@aegiswi.com

[www.aegiswealthadvisors.com](http://www.aegiswealthadvisors.com)

This Brochure provides information about the qualifications and business practices of Aegis Wealth Advisors, LLC. If you have any questions about the contents of this Brochure, please call us at (262) 369-5200 or send an e-mail to tims@aegiswi.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.

Aegis Wealth Advisors, LLC (also known as “AWA”) is a registered investment adviser. Registration of an Investment Adviser does not imply any level of skill or training. The oral and written communications of an Adviser provide you with information about which you determine to hire or retain an Adviser.

Additional information about Aegis Wealth Advisors LLC is also available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

Item 2 —  
Material  
Changes

**New Brochure replaces AWA Form ADV part II**

On July 28, 2010, the United State Securities and Exchange Commission published “Amendments to Form ADV” which amends the disclosure document that we provide to clients as required by SEC Rules. This Brochure dated March 30, 2017 is a new document prepared according to the SEC’s new requirements and rules. As such, this Document is materially different in structure and requires certain new information that our previous brochure did not.

In the future, this Item will discuss only specific material changes that are made to the Brochure and will provide clients with a summary of such changes. We will also reference the date of the last annual update of our brochure.

In the past, we have offered or delivered information about our qualifications and business practices to clients on at least an annual basis. Pursuant to new SEC Rules, we will ensure that you receive a summary of any materials changes to this and subsequent Brochures within 120 days of the close of our fiscal year. We may further provide other ongoing disclosure information about material changes as necessary.

We will provide you with a new Brochure as necessary, based on changes or new information, at any time, without charge.

Currently, our Brochure may be requested by contacting Timothy M. Stasinoulis, Managing Partner, at (262)369-5200 or sending an e-mail to [tims@aegiswi.com](mailto:tims@aegiswi.com).

Additional information about Aegis Wealth Advisors, LLC is also available via the SEC’s web site [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). The SEC’s web site also provides information about any persons affiliated with Aegis Wealth Advisors, LLC who are registered, or are required to be registered, as investment adviser representatives (also known as “IARs”) of Aegis Wealth Advisors, LLC.

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## Overview

Since 1992, Tim Stasinoulis, Managing Partner and Owner of Aegis Wealth Advisors, LLC, has been an independent financial adviser. Mr. Stasinoulis formed AWA as registered investment adviser in August of 2005. AWA offers portfolio management services to long-term investors based on well-documented and academically proven investment strategies.

## Investment Services

Client portfolios are broadly diversified, both across and within asset classes, based on the following core beliefs: (1) public securities markets are highly efficient, (2) passive, structured portfolios generally outperform actively managed strategies over time, (3) effective asset allocation and diversification are important to investment success, and (4) five systematic risk factors reward investors over the long run: (a) market risk, (b) size risk, and (c) valuation risk in equities; (d) maturity risk and (e) credit risk in fixed income.

AWA advises clients on the following types of securities (including but not limited to):

- Exchange listed securities
- Securities traded over-the-counter
- Corporate debt securities
- Commercial paper
- Certificates of Deposit
- Municipal securities
- Variable life insurance
- Variable annuities
- Mutual funds
- United States government securities
- Options on securities
- Real estate
- Exchange Traded Funds
- Money market funds

AWA generally provides financial planning advice to clients who request it. In this capacity, we may advise clients on areas such as: (1) retirement planning, (2) estate planning, (3) college funding, (4) cash flow and budgeting, (5) personal insurance coverage, (6) stock option planning, and (7) executive benefits.

Clients receive a written investment policy statement outlining their investment objectives, constraints, risk tolerance, target portfolio allocations, and rebalancing guidelines. Client portfolio allocations are developed taking into account market-oriented factors (such as risk premiums, expected returns, and asset class correlations), as well as individual client circumstances (including risk profile, return objectives, overall financial situation and goals, tax situation, and

Item 4 —  
Advisory  
Business (cont'd)

estate distribution goals). Portfolios can be customized to each client or family and may include cash equivalents, domestic fixed income, international fixed income, large company stocks, small company stocks, value stocks, international stocks, emerging market stocks, and real estate securities.

Investment policies are generally implemented using no-load, institutional mutual funds offered by Dimensional Fund Advisors (“DFA”) or other passively managed vehicles. AWA Managing Partner, Tim Stasinoulis has been an approved adviser with DFA since 2008 and has used their funds in client portfolios since that time. DFA is an established institutional money manager known for its structured investment strategies. Consistent with the DFA approach, AWA does not engage in market timing or subjective forecasting of financial markets specific sectors or individual issuers. Client portfolios are designed for the long-term investor who believes capital markets will deliver fair and competitive returns over time.

Clients may be as involved in the management of their accounts as they choose; however, clients are expected to be actively engaged in the initial allocation process and to update AWA of any changes in their circumstances or objectives. Clients can instruct AWA to include or exclude certain asset classes in their portfolio. Client portfolios are reviewed at least quarterly for rebalancing purposes. AWA investment adviser representatives (IARs) are available during business hours to communicate with clients as needed about their accounts and their financial situations.

Most client assets are managed on a discretionary basis. From time to time, we may provide such services on a non-discretionary basis. AWA will invest a client’s assets only in the securities listed in a client’s investment policy statement, or as otherwise approved by the client either verbally or in writing. As of December 31, 2016, AWA manages \$17,391,810 in client assets on a discretionary basis and \$2,000,000 on a non-discretionary basis.

#### **Account Administrator**

AWA retains an independent third-party account administrator (LWI Financial, Inc. or “LWIF”) that performs certain services such as account administration, portfolio rebalancing, back-office fulfillment, report and statement production, and fee debiting. LWIF’s services are paid by AWA. LWIF is an investment adviser registered with the Securities and Exchange Commission.

LWIF may also sponsor educational seminars for the benefit of AWA and its clients. Such educational seminars provide AWA with access to information and ideas regarding practice development, client servicing, investment strategy, relationship management and financial planning. Attendance expenses associated with such educational seminars may be paid or reimbursed, either in whole or in part, by LWIF. AWA may execute transactions through a broker-dealer, Loring Ward Securities Inc. (“LWSI”), that is affiliated and under common ownership with LWIF. LWSI is a securities broker-dealer

Item 4 — Advisory  
Business (cont'd)

and a member of the Financial Industry Regulatory Authority (“FINRA”) that introduces all transactions to its correspondent clearing firm, Pershing LLC, on a fully-disclosed basis. AWA or client may incur additional brokerage commissions, ticket charges, or other similar expenses that are collected by LWSI, or another broker-dealer and/or custodian of record.

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Item 5 — Fees and  
Compensation

### **INVESTMENT ADVISORY FEES**

Fees for portfolio management services are calculated as an annual percentage of managed assets, billed quarterly, in advance, as stated in the Relationship Agreement signed by the client. The negotiable annual fee ranges upwards from 0% to 2% and the fees are generally debited from client accounts by the account custodian at the beginning of each calendar quarter. Clients may request to be billed directly. A prorated fee is charged for contributions made during a quarter based on the number of days remaining in the quarter. Our base fee schedules are:

- 2.00% annually of the first \$200,000
- 1.00% annually of the next \$800,000
- 0.75% annually of the next \$1,000,000
- 0.50% annually of the amount over \$2,000,000

### **Comprehensive Financial Planning Fees:**

AWA’s fees for comprehensive financial planning and annual reviews are based solely on the complexity of the consultation engagement. The fee is negotiable but becomes fixed on date of contract engagement. Fees may be based on a negotiated flat rate or on an hourly rate of \$200 per hour. The minimum first year negotiated fee is generally \$2500. Annual review fees are generally not more than 50% of the first year fee. A deposit of up to twenty five (25%) percent of the fee may be required on the date of engagement with the balance due when invoiced.

### **Additional Fees and Expenses**

Investment advisory fees are exclusive of brokerage commissions, transaction fees, and other related costs and expenses that may be incurred by the client. Clients may have charges imposed by custodians such as custodial fees, overnight mailing fees, wire transfer or electronic fund fees, and other possible fees and taxes. Mutual funds and exchange traded funds also charge internal management fees, which are disclosed in a fund’s prospectus. These expenses are in addition to AWA’s investment management fees. AWA does not receive any portion of these fees.

Clients may discontinue their relationship with AWA by written request pursuant to their Relationship Agreement. In this event, any unearned portion

**Item 5 — Fees and Compensation**

of AWA's investment management fee for the current quarter will be returned to the client's account.

Item 12 further describes the factors that AWA considers in selecting or recommending broker-dealers for client transactions and determining the reasonableness of their compensation.

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**Item 6 — Performance-Based Fees and Side-By-Side Management**

AWA does not charge any performance-based fees (fees based on a share of capital gains on or capital appreciation of the assets of a client).

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**Item 7 — Types of Clients**

AWA provides portfolio management services to individuals, high-net-worth individuals, corporate pension and profit-sharing plans, Taft-Hartley plans, charitable organizations, foundations, and endowments.

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**Item 8 — Methods of Analysis, Investment Strategies and Risk of Loss**

**Risk of loss**

All investments have risk, and investing in securities involves risk of loss that clients should be prepared to bear.

**Research and Methods of Analysis**

AWA relies on several sources for information to analyze investment securities and develop portfolio management strategies and allocations. We use publicly available research reports regarding individual securities, mutual funds constructed from these securities, and exchange traded funds. We also use the DFA Returns Program of historical asset class returns, LWIF and DFA white papers and research publications, TD Ameritrade Institutional, Schwab Institutional and other brokerage firm research reports and white papers, newspapers, financial websites, various financial periodicals, financial trade journals (such as the Financial Analysts Journal and the Journal of Financial Planning), and periodic discussions with fund managers and professional colleagues. AWA also has access to well-known academic researchers who provide in-depth research materials and education.

AWA primarily utilizes the institutional asset class mutual funds of DFA in the management of client portfolios. AWA has determined that DFA funds most effectively capture the returns of target asset classes and provide the best opportunity to effectively implement the investment policies of client portfolios, and thereby gain the greatest benefit from the firm's methodology. DFA and other mutual fund companies provide clients with prospectuses that identify potential risks involved in investing in the mutual funds used in client portfolios.

AWA clients usually have a long-term investment perspective of at least 7 to 10 years (and sometimes 20 to 30 years or more). The analysis of asset classes



**Item 8 — Methods of Analysis, Investment Strategies and Risk of Loss (cont'd)**

includes reviewing historical and expected rates of return, standard deviations, and correlation coefficients between asset classes. Investment policies with target asset allocations are prepared in recognition of each client's risk tolerance, investment objectives and constraints, and long-term goals.

Occasionally, AWA will purchase certain securities for shorter-term needs. For example, when harvesting tax losses AWA will generally purchase replacement funds that are similar to a client's portfolio funds and hold them for 31 days to avoid wash sale rules. The original funds are usually then repurchased. Another example of a short-term holding period is when cash or other short maturity fixed income security is held for a client's short-term funding goal. AWA takes into account the trading costs of these strategies and only recommends them to clients when the expected after-tax benefit exceeds expected costs.

Some clients may wish to transfer certain securities into their managed account to be held outside of their managed portfolio. In this case, AWA will mark these securities as "unmanaged" assets, not charge a management fee on these assets, and only trade these securities when the firm receives specific trading instructions from the client. These unmanaged assets will not be reflected in performance reports provided to the client by AWA, since they are not considered a part of the managed portfolio and may not be consistent with our investment philosophy. Unmanaged assets will, however, appear in the custodian's monthly statements and other reports, such as Form 1099.

Clients are generally able to borrow against the securities held in their accounts utilizing margin loans offered by their custodian. However, since margin borrowing increases investment risk and raises costs for clients, margin is not generally used as an investment strategy for AWA clients.

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**Item 9 — Disciplinary Information**

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of AegisWealth Advisors, LLC or the integrity of its management. Aegis Wealth Advisors, LLC has no information applicable to this Item.

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**Item 10 — Other Financial Industry Activities and Affiliations**

**Other Business Activity and Affiliations**

Timothy M. Stasinoulis is a licensed insurance agent. From time to time, he will offer clients advice or products from those activities. Clients should be aware that these services pay a commission and involve a possible conflict of interest, as commissionable products can conflict with the fiduciary duties of a registered investment adviser. AWA always acts in the best interest of the client; including the sale of commissionable products to advisory clients. Clients are in no way required to purchase insurance products through any person affiliated with AWA.



Item 10 — Other  
Financial Industry  
Activities and  
Affiliations (cont'd)

**Other Compensation**

AWA does not receive any additional compensation from a non-client in connection with providing financial advice to clients. However, AWA may receive certain marketing materials and educational assistance from persons or entities providing services for fees to clients.

Mr. Stasinoulis also earns commission-based compensation for selling insurance products.

Item 11 — Code  
of Ethics

Aegis Wealth Advisors, LLC has adopted a Code of Ethics for all supervised persons of the firm describing its high standard of business conduct, and fiduciary duty to its clients. The Code of Ethics includes provisions relating to the confidentiality of client information, a prohibition on insider trading, a prohibition of rumor mongering, restrictions on the acceptance of significant gifts and the reporting of certain gifts and business entertainment items, and personal securities trading procedures, among other things. All supervised persons at AWA must acknowledge the terms of the Code of Ethics annually, or as amended.

AWA anticipates that, in appropriate circumstances, consistent with clients' investment objectives, it will cause accounts over which AWA has management authority to effect, and will recommend to investment advisory clients or prospective clients, the purchase or sale of securities in which AWA, its affiliates and/or clients, directly or indirectly, have a position of interest. AWA's employees and persons associated with AWA are required to follow AWA's Code of Ethics. Subject to satisfying this policy and applicable laws, officers, directors and employees of AWA and its affiliates may trade for their own accounts in securities which are recommended to and/or purchased for AWA's clients. The Code of Ethics is designed to assure that the personal securities transactions, activities and interests of the employees of AWA will not interfere with (i) making decisions in the best interest of advisory clients and (ii) implementing such decisions while, at the same time, allowing employees to invest for their own accounts. Under the Code certain classes of securities have been designated as exempt transactions, based upon a determination that these would materially not interfere with the best interest of AWA's clients. In addition, the Code requires pre-clearance of many transactions, and restricts

Item 11 — Code of Ethics (cont'd)

trading in close proximity to client trading activity. Nonetheless, because the Code of Ethics in some circumstances would permit employees to invest in the same securities as clients, there is a possibility that employees might benefit from market activity by a client in a security held by an employee. Employee trading is continually monitored under the Code of Ethics, and to reasonably prevent conflicts of interest between AWA and its clients.

Certain affiliated accounts may trade in the same securities with client accounts on an aggregated basis when consistent with AWA's obligation of best execution. In such circumstances, the affiliated and client accounts will share commission costs equally and receive securities at a total average price. AWA will retain records of the trade order (specifying each participating account) and its allocation, which will be completed prior to the entry of the aggregated order. Completed orders will be allocated as specified in the initial trade order. Partially filled orders will be allocated on a pro rata basis. Any exceptions will be explained on the Order.

AWA's clients or prospective clients may request a copy of the firm's Code of Ethics by contacting Tim Stasinoulis at [tims@aegiswealthadvisors.com](mailto:tims@aegiswealthadvisors.com)

It is AWA's policy that the firm will not affect any principal or agency cross securities transactions for client accounts. AWA will also not cross trades between client accounts. Principal transactions are generally defined as transactions where an adviser, acting as principal for its own account or the account of an affiliated broker-dealer, buys from or sells any security to any advisory client. A principal transaction may also be deemed to have occurred if a security is crossed between an affiliated hedge fund and another client account. An agency cross transaction is defined as a transaction where a person acts as an investment adviser in relation to a transaction in which the investment adviser, or any person controlled by or under common control with the investment adviser, acts as broker for both the advisory client and for another person on the other side of the transaction. Agency cross transactions may arise where an adviser is dually registered as a broker-dealer or has an affiliated broker-dealer.

Item 12 — Brokerage Practices

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AWA does not receive soft dollar benefits from any of the broker-dealer custodians with whom it works. Soft dollar benefits are not proportionally allocated to any accounts that may generate different amounts of the soft dollar benefits.

Although AWA IARs generally recommend Charles Schwab as the custodian of choice for client accounts, clients are under no obligation to use Schwab. Custodial services are also available through TD Ameritrade and Fidelity Brokerage Services. AWA has a discounted commission schedule with

Item 12 — Brokerage Practices (cont'd)

Charles Schwab and TD Ameritrade for mutual fund transactions, and both maintains a large network of retail branches that are convenient for clients who may occasionally need to visit a branch to, for example, deliver account paperwork, accept or deposit a check, or deposit paper securities.

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Item 13 — Review of Accounts

Account reviews occur at least quarterly as part of the regular monitoring and reporting process. Reviews are also triggered by other events such as: (1) receipt of new money to be invested, (2) disbursement requests made by the client, (3) following client notification of AWA of significant changes in their financial circumstances, or (4) significant changes in financial market conditions. AWA IARs compare portfolio allocations with the client's investment policy targets and consider rebalancing of positions. AWA IARs communicate with clients periodically to determine if any material changes have occurred in client goals or financial situations.

Clients receive quarterly performance reports that summarize their portfolio positions, rates of return, and overall asset allocation. Clients also receive rebalancing reports when their portfolios are repositioned to target allocations. For tax planning and filing ease, clients receive supplemental tax reports showing realized gains and losses, government bond interest earned, and investment advisory fees paid.

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Item 14 — Client Referrals and Other Compensation

AWA has the ability to pay fees to individuals ("Solicitors") for clients referred to us. We provide the referred client a separate Solicitor disclosure statement signed by all parties acknowledging that the person making the referral is a paid solicitor.

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Item 15 — Custody

Clients should receive monthly statements from Charles Schwab, TD Ameritrade, or any other custodian that holds and maintains client investment assets. AWA urges you to carefully review such statements and compare such official custodial records to the quarterly reports and other statements that we may provide to you. Our statements may vary from custodial statements based on accounting procedures, reporting dates, or valuation methodologies of certain securities. These reports also may vary if we hold any unmanaged assets in your managed account (as we do not include unmanaged assets in our reports). Custodial accounts are insured by the Securities Insurance Protection Corporation (SIPC) against fraudulent acts by the custodian.

**Item 16 — Investment  
Discretion**

AWA typically provides portfolio management consultation services on a discretionary basis. Portfolio trading is limited to the funds and allocations contained in each client's individualized written investment policy statement. Occasionally, deviations from the policy statement may occur due to situations such as:

(1) Client requests to defer rebalancing the portfolio, (2) excess cash requirements of the client, (3) replacement of a portfolio security for a similar security in the same asset class, (4) gradual reduction of one or more holdings to increase or decrease risk exposure at the request of the client, (5) tax planning activities such as loss harvesting. Investment policy statements and client notes are updated to reflect any changes requested by the client or recommended by AWA.

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**Item 17 — Voting  
Client Securities**

As a matter of firm policy and practice, AWA does not have any authority to and does not vote proxies on behalf of advisory clients. Clients retain the responsibility for receiving and voting proxies for any and all securities maintained in client portfolios. AWA may provide advice to clients regarding the clients' voting of proxies.

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**Item 18 — Financial  
Information**

Registered investment advisers are required in this Item to provide you with certain financial information or disclosures about AWA's financial condition. AWA has no financial commitment that impairs its ability to meet contractual and fiduciary commitments to clients, and has not been the subject of a bankruptcy proceeding.

## **Requirements for State-Registered Advisers**

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### **Background Information**

Timothy M. Stasinoulis is our Managing Partner and Chief Executive Officer. Please refer to the Part(s) 2B Brochure Supplement for detailed background Information about management personnel and those giving advice on behalf of AWA.

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### **Other Business Activities Engaged in**

Timothy Stasinoulis has a financial industry affiliated business as an insurance agent. From time to time, he offers clients advice or products from those activities. Clients are not required to purchase any products. Please refer to Item 10-Other Financial Industry Activities and Affiliations.

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### **Performance Based Fee Description**

Neither AWA, nor any of our Associated Persons are compensated for advisory services with performance based fees. Please refer to the “Performance-Based Fees and Side-by-Side Management” section above for additional information on this topic.

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### **Legal Events**

Neither AWA, nor any of our Associated Persons have any reportable arbitration claims, civil, self-regulatory organization proceeding or administrative proceeding.

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### **Relationships**

Neither AWA, nor any of our Associated Persons have a material relationship or arrangement with any issuer of securities.

## **Additional Information**

### **Your Privacy**

We view protecting your private information as a top priority. Pursuant to applicable privacy requirements, we have instituted policies and procedures to ensure that we keep your personal information private and secure.

We do not disclose any non public personal information about you to any non affiliated third parties, except as permitted by law. In the course of serving your account, we may share some information with our service providers, such as transfer agents, custodians, broker-dealers, accountants, consultants, and attorneys.

We restrict internal access to non public personal information about you to employees, who need that information in order to provide products or services to you. We maintain physical and procedural safeguards that comply with regulatory standards to guard your non public personal information and to ensure our integrity and confidentiality. We will not sell information about you or your accounts to anyone. WE do not share your information unless it is required to process a transaction, at your request, or required by law.

You will receive a copy of our privacy notice prior to or at the time you sign an advisory agreement with our firm. Thereafter, we will deliver a copy of the current privacy policy notice to you on an annual basis. Please contact our main office at the telephone number on the cover pages of this brochure if you have any questions regarding this policy.

### **Trade Errors**

In the event a trading error occurs in your account, our policy is to restore your account to the position it should have been in had the trading error not occurred. Depending on the circumstances, corrective actions may include canceling the trade, adjusting an allocation, and/or reimbursing the account. If a trade error results in a profit, you will keep the profit.

### **Class Action Lawsuits**

We do not determine if securities held by you are the subject of a class action lawsuit or whether you are eligible to participate in the class action settlements or litigation nor do we initiate or participate in litigation to recover damages on your behalf for injuries as a result of actions, misconduct, or negligence by issuers of securities held by you.

## **AEGIS WEALTH ADVISORS, LLC**

### **NOTICE OF OUR PRIVACY POLICY**

Our firm provides investment services by means of its own internal operation and unaffiliated third-party service and product providers (for example, your account custodian or a money manager) at your election. The account custodian processes the investment transactions for your account. This firm and the product and service providers receive and maintain information about you that is related to your account.

**WHERE DO WE OBTAIN THE INFORMATION.** The information that we have comes directly from you. This includes such information as your name, address and Social Security number that you provided on applications, agreements or other forms. In addition, we maintain records of each of your transactions and holdings at the product and service provider that are processed through this firm.

**TO WHOM DO WE DISCLOSE THE INFORMATION.** We provide information about current or former clients from the sources described above to parties outside of our firm only as described below:

***To other companies as necessary to process your business.*** For example, we process your investment instructions through product and service providers with whom we have business agreements. The information that we obtained from you is given to the product and service providers for purposes of effecting transactions in your account and preparing your account statements. These parties must limit their use of the information to the purpose for which it was provided.

***Where required by law or regulation.*** Examples include responses to a subpoena, court order or regulatory demand.

***As authorized by you.*** You may direct us, for example, to send account statements or other account information to a third party.

***As otherwise authorized or permitted by law.*** For example, the law permits us to respond to requests for information on you from a consumer-reporting agency.

**CONFIDENTIALITY AND SECURITY.** We restrict access to information about you to those employees and authorized agents who need to know that information in order to provide products or services to you. We maintain physical, electronic and procedural safeguards as outlined in the attached policy statement to maintain the confidentiality of your information. We will continue to maintain such security even if you discontinue the service relationship.

For questions about our policy, or for additional copies of this notice, please contact Timothy M. Stasinoulis at Aegis Wealth Advisors, LLC.



Timothy M. Stasinoulis

Aegis Wealth Advisors, LLC  
1208 State Road 83  
Hartland, WI 53029  
262.369.5200

March 30, 2017

**Form ADV Part 2B  
Brochure Supplement**

This brochure supplement provides information about Timothy M. Stasinoulis that supplements the Aegis Wealth Advisors, LLC Brochure. You should have received a copy of that brochure. Please contact us at 262-369-5200 if you did not receive Aegis Wealth Advisors, LLC's brochure or if you have any questions about the contents of this supplement.

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

## **Item 2 Educational Background**

*Timothy M. Stasinoulis, born 1958*

BS, Criminal Justice from The University of Wisconsin-Milwaukee, 1979

- Founder and Owner, The Aegis Group, 1992-Present
- Managing Partner and Investment Advisor Representative, Aegis Wealth Advisors, LLC 8/2005-Present
- Registered Financial Consultant (RFC)- admitted April 1995

### **Qualification Requirements: Registered Financial Consultant (RFC)**

Candidates are required to complete a self-study process to attain the RFC designation. The preparation curriculum consists of ten volumes mirroring that of the CFP preparation, and covers the following six topics:

- Financial Planning Process
- Insurance Planning
- Retirement Planning
- Investment Planning
- Income Tax Planning
- Estate Planning

### **Examination Requirements**

- At the completion of the self-study process, candidates are required to take an untimed, 150-question multiple choice exam (takes approximately 3-5 hours)
- The exam may be taken at anytime, anywhere, as convenient for the candidate
- A financial calculator is required in order to answer some of the time-value of money questions.
- The candidate nominates a proctor who agrees to administer the exam and mail it in upon completion for grading
- The proctor may be a business associate, but not a member of the candidates immediate family

### **Additional Requirements**

Candidates must meet the following education, experience and ethical requirements:

- Candidate either has attained a professional designation (i.e. CLU, ChFC, and CFP), or has earned a baccalaureate or graduate degree with a strong emphasis on subjects relation to economics, accounting, business, statistics, finance and similar studies; this granting institution must offer an IARFC-approved or CFP equivalent college curriculum and be an accredited college or university
- Met four years of experience, providing evidence of having met license requirements for securities plus life and health insurance, or submits RIA affiliation information
- Candidate must have a sound record of business integrity wit no suspensions or revocations of any professional licenses

- Designees must subscribe to IARFC Code of Ethics
- Designees must submit an annual renewal including \$100 in dues

### **Continuing Education Requirements**

Designees must agree to devote a minimum of 40 hours per year continuing professional education in the field of personal finance and professional practice management.

### **Item 3 Disciplinary Information**

There are no legal or disciplinary events relating to Mr. Stasinoulis that would be material to a client's evaluation of Mr. Stasinoulis.

### **Item 4 Other Business Activities**

Timothy Stasinoulis has a financial industry affiliated business as an insurance agent. From time to time, he offers clients advice or products from those activities. Clients are not required to purchase any products. Please refer to Item 10-Other Financial Industry Activities and Affiliations.

### **Item 5 Additional Compensation**

Please refer to the Item 10-Other Business Activity and Other Compensation section of Aegis Wealth Advisors, LLC's firm brochure for disclosures on Mr. Stasinoulis's receipt of additional compensation as a result of his activities as a licensed insurance agent.

### **Item 6 Supervision**

Mr. Stasinoulis is the Managing Partner, Chief Compliance Officer and 100% owner of Aegis Wealth Advisors, LLC (AWA). Accordingly, he is the supervisor of the firm's investment advisory representatives, including himself. Mr. Stasinoulis's telephone number is 262-369-5200.