



## Form ADV Part 2B – Brochure Supplement

for

**Kathryn M. Wallace, CFP® , ChFC® , RICP® , APMA®**  
**Senior Wealth Advisor, Managing Member**

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Kathryn M. Wallace (CRD# 4641895) in addition to the information contained in the Basepoint Wealth, LLC (“Basepoint” or the “Advisor”, CRD# 289538) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Basepoint Disclosure Brochure or this Brochure Supplement, please contact us at (319) 826-1898.

Additional information about Ms. Wallace is available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with her full name or her Individual CRD# 4641895.

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**Basepoint Wealth, LLC**

4144 Golf Street NE, Cedar Rapids, IA 52402  
Phone: (319) 826-1898  
Fax: (319) 826-1471  
<http://BasepointWealth.com>

## Item 2 – Educational Background and Business Experience

Kathryn M. Wallace, CFP®, ChFC®, RICP®, APMA® born in 1978, is dedicated to advising Clients of Basepoint as a Senior Wealth Advisor. Ms. Wallace earned an Associate of Arts degree from Kirkwood Community College in 2001. Ms. Wallace earned a Bachelor of Social Science in Psychology & Secondary Education from Cornell College in 2003. Additional information regarding Ms. Wallace's employment history is included below.

### Employment History:

Senior Wealth Advisor and Managing Member, Basepoint Wealth, LLC	10/2017 to Present
Financial Advisor, Ameriprise Financial Services, Inc.	06/2003 to 10/2017

### CERTIFIED FINANCIAL PLANNER™ (“CFP®”)

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP® (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP® Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 71,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP® Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP® Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP® Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at

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a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP® Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

#### Chartered Financial Consultant® (ChFC®)

The Chartered Financial Consultant® (ChFC®) program prepares you to meet the advanced financial planning needs of individuals, professionals and small business owners. You'll gain a sustainable advantage in this competitive field with in-depth coverage of the key financial planning disciplines, including insurance, income taxation, retirement planning, investments and estate planning. The ChFC® requires three years of full-time, relevant business experience, nine two-hour course specific proctored exams, and 30 hours of continuing education every two years. Holders of the ChFC® designation must adhere to The American College's Code of Ethics.

#### Program Objectives

- Function as an ethical, competent and articulate practitioner in the field of financial planning
- Utilize the intellectual tools and framework needed to maintain relevant and current financial planning knowledge and strategies.
- Apply financial planning theory and techniques through the development of case studies and solutions
- Apply in-depth knowledge in a holistic manner from a variety of disciplines; namely, estate planning, retirement planning or non-qualified deferred compensation.

#### Retirement Income Certified Professional® ("RICP®")

The RICP® designation teaches advisers techniques and best practices used to create sustainable streams of retirement income. The education covers retirement income planning, maximizing Social Security and other income sources, minimizing risks to the plan, and managing portfolios during the asset distribution phase. The designation includes three required, college-level courses that represent a total average study time of more than 150 hours. RICP® designees must meet experience, continuing education and ethics requirements. The credential is awarded by The American College, a non-profit educator with an 85-year heritage and the highest form of academic accreditation.

#### Accredited Portfolio Management Advisor<sup>SM</sup> ("APMA®")

Individuals who hold the APMA® designation have completed a course of study encompassing client assessment and suitability, risk/return, investment objectives, bond and equity portfolios, modern portfolio theory and investor psychology. Students have hands-on practice in analyzing investment policy statements, building portfolios, and making asset allocation decisions including sell, hold, and buy decisions within a client's portfolio. Additionally, individuals must pass an end-of-course examination that tests their ability to synthesize complex concepts and apply theoretical concepts to real-life situations. All designees have agreed to adhere to Standards of Professional Conduct and are subject to a disciplinary process. Designees renew their designation every two years by completing 16 hours of continuing education, reaffirming adherence to the Standards of Professional Conduct and complying with self-disclosure requirements.

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### Item 3 – Disciplinary Information

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***There are no legal, civil or disciplinary events to disclose regarding Ms. Wallace.*** Ms. Wallace has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Ms. Wallace.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Ms. Wallace.*** However, we do encourage you to independently view the background of Ms. Wallace on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with her full name or her Individual CRD# 4641895.

### Item 4 – Other Business Activities

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Ms. Wallace owns rental property.

Ms. Wallace is a volunteer at Board Member of Cedar Rapids Metro YMCA. This is a non-profit organization and receives no compensation for this activity.

Ms. Wallace is a partner at Basepoint Tax & Accounting LLC.

### Item 5 – Additional Compensation

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Ms. Wallace has additional business activities that are detailed in Item 4 above.

### Item 6 – Supervision

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Ms. Wallace serves as a Senior Wealth Advisor and Managing Member of Basepoint and is supervised by Katherine E Kula, the Chief Compliance Officer. Ms. Kula can be reached at (319) 826-1898.

Basepoint has implemented a Code of Ethics and internal compliance that guide each Supervised Person in meeting their fiduciary obligations to Clients of Basepoint. Further, Basepoint is subject to regulatory oversight by various agencies. These agencies require registration by Basepoint and its Supervised Persons. As a registered entity, Basepoint is subject to examinations by regulators, which may be announced or unannounced. Basepoint is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.

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## Form ADV Part 2B – Brochure Supplement

for

**W. Allen Wallace, MBA, CFA, CPA/PFS, CFP®**  
**Chief Investment Officer, Managing Member**

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of W. Allen Wallace (CRD# 4233166) in addition to the information contained in the Basepoint Wealth, LLC (“Basepoint” or the “Advisor”, CRD# 289538) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Basepoint Disclosure Brochure or this Brochure Supplement, please contact us at (319) 826-1898.

Additional information about Mr. Wallace is available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 4233166.

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## Item 2 – Educational Background and Business Experience

W. Allen Wallace, MBA, CFA, CPA/PFS, CFP®, born in 1976, is dedicated to advising Clients of Basepoint as the Chief Investment Officer, Managing Member. Mr. Wallace also earned a Bachelor of Arts in Business Administration from Augustana College in 1998. Mr. Wallace also earned a Master of Business Administration (MBA) from The University of Iowa in 2021. Additional information regarding Mr. Wallace's employment history is included below.

### Employment History:

Chief Investment Officer and Managing Member, Basepoint Wealth, LLC	10/2017 to Present
Financial Advisor, Ameriprise Financial Services, Inc.	05/2000 to 10/2017

### CERTIFIED FINANCIAL PLANNER™ (“CFP®”)

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP® (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP® Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 71,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP® Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP® Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP® Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and

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- **Ethics – Renew an agreement to be bound by the Standards of Professional Conduct.** The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP® Board’s enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

#### Certified Public Accountant (“CPA”)

CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college education (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum experience levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two-year period or 120 hours over a three-year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous Code of Professional Conduct which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA’s Code of Professional Conduct within their state accountancy laws or have created their own.

#### Personal Financial Specialist (“PFS”)

The PFS credential demonstrates that an individual has met the minimum education, experience and testing required of a CPA in addition to a minimum level of expertise in personal financial planning. To attain the PFS credential, a candidate must hold an unrevoked CPA license, fulfill 3,000 hours of personal financial planning business experience, complete 80 hours of personal financial planning CPE credits, pass a comprehensive financial planning exam and be an active member of the AICPA. A PFS credential holder is required to adhere to

AICPA’s Code of Professional Conduct, and is encouraged to follow AICPA’s Statement on Responsibilities in Financial Planning Practice. To maintain their PFS credential, the recipient must complete 60 hours of financial planning CPE credits every three years. The PFS credential is administered through the AICPA.

#### CFA – Chartered Financial Analyst

The Chartered Financial Analyst (CFA) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute - the largest global association of investment professionals. There are currently more than 90,000 CFA charterholders working in 134 countries. To earn the CFA charter, candidates must: 1) pass three sequential, six-hour examinations; 2) have at least four years of qualified professional investment experience; 3) join CFA Institute as members; and 4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

#### **High Ethical Standards**

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charterholders to:

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- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

### **Global Recognition**

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA charterholders-often making the charter a prerequisite for employment.

Additionally, regulatory bodies in 22 countries and territories recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 125 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

### **Comprehensive and Current Knowledge**

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

To learn more about the CFA charter, visit [www.cfainstitute.org](http://www.cfainstitute.org).

### Item 3 – Disciplinary Information

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***There are no legal, civil or disciplinary events to disclose regarding Mr. Wallace.*** Mr. Wallace has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Wallace.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Wallace.***

However, we do encourage you to independently view the background of Mr. Wallace on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 4233166.

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Item 4 – Other Business Activities

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Mr. Wallace owns rental property.

Mr. Wallace is a partner at Basepoint Tax & Accounting LLC.

Item 5 – Additional Compensation

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Mr. Wallace has additional business activities that are detailed in Item 4 above.

Item 6 – Supervision

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Mr. Wallace serves as the Chief Investment Officer and Managing Member of Basepoint and is supervised by Katherine E Kula, the Chief Compliance Officer. Ms. Kula can be reached at (319) 826-1898.

Basepoint has implemented a Code of Ethics and internal compliance that guide each Supervised Person in meeting their fiduciary obligations to Clients of Basepoint. Further, Basepoint is subject to regulatory oversight by various agencies. These agencies require registration by Basepoint and its Supervised Persons. As a registered entity, Basepoint is subject to examinations by regulators, which may be announced or unannounced. Basepoint is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.

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Form ADV Part 2B – Brochure Supplement  
for

**Katherine E. Kula, CRPC®**  
**Chief Compliance Officer**

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of

Katherine E. Kula (CRD# 5919392) in addition to the information contained in the Basepoint Wealth, LLC (“Basepoint” or the “Advisor”, CRD# 289538) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Basepoint Disclosure Brochure or this Brochure Supplement, please contact us at (319) 826-1898.

Additional information about Ms. Kula is available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with her full name or her Individual CRD# 5919392.

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## Item 2 – Educational Background and Business Experience

Katherine E. Kula, CRPC® born in 1986, is dedicated to advising Clients of Basepoint as the Chief Compliance Officer. Ms. Kula also earned a Bachelor of Arts in History from University of Northern Iowa in 2008. Additional information regarding Ms. Kula’s employment history is included below.

### **Employment History:**

Chief Compliance Officer, Basepoint Wealth, LLC	10/2017 to Present
Associate Financial Advisor, Ameriprise Financial Services, Inc.	05/2011 to 10/2017

### Chartered Retirement Planning Counselor (“CRPC®”)

Individuals who hold the CRPC® designation have completed a course of study encompassing pre-and post-retirement needs, asset management, estate planning and the entire retirement planning process using models and techniques from real client situations. Additionally, individuals must pass an end-of-course examination that tests their ability to synthesize complex concepts and apply theoretical concepts to real-life situations. All designees have agreed to adhere to Standards of Professional Conduct and are subject to a disciplinary process. Designees renew their designation every two-years by completing 16 hours of continuing education, reaffirming adherence to the Standards of Professional Conduct and complying with self-disclosure requirements.

## Item 3 – Disciplinary Information

***There are no legal, civil or disciplinary events to disclose regarding Ms. Kula.*** Ms. Kula has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Ms. Kula.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Ms. Kula.***

However, we do encourage you to independently view the background of Ms. Kula on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with her full name or her Individual CRD# 5919392.

## Item 4 – Other Business Activities

Ms. Kula is dedicated to the investment advisory activities of Basepoint’s Clients.

Ms. Kula is a partner at Basepoint Tax & Accounting LLC.

## Item 5 – Additional Compensation

Ms. Kula is dedicated to the investment advisory activities of Basepoint’s Clients. Ms. Kula does not receive any additional forms of compensation.

## Item 6 – Supervision

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Ms. Kula serves as the Chief Compliance Officer of Basepoint and is supervised by Kathryn M. Wallace, the Senior Wealth Advisor and Managing Member. Ms. Wallace can be reached at (319) 826-1898.

Basepoint has implemented a Code of Ethics and internal compliance that guide each Supervised Person in meeting their fiduciary obligations to Clients of Basepoint. Further, Basepoint is subject to regulatory oversight by various agencies. These agencies require registration by Basepoint and its Supervised Persons. As a registered entity, Basepoint is subject to examinations by regulators, which may be announced or unannounced. Basepoint is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.

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## Form ADV Part 2B – Brochure Supplement

for

**Landis T. Wiley, CFP®**  
**Senior Wealth Advisor, Director of Business Development**

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Landis T. Wiley (CRD# 5940982) in addition to the information contained in the Basepoint Wealth, LLC (“Basepoint” or the “Advisor”, CRD# 289538) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Basepoint Disclosure Brochure or this Brochure Supplement, please contact us at (319) 826-1898.

Additional information about Mr. Wiley is available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 5940982.

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<http://BasepointWealth.com>

## Item 2 – Educational Background and Business Experience

Landis T. Wiley, born in 1983, is dedicated to advising Clients of Basepoint as a Senior Wealth Advisor and Director of Business Development. Mr. Wiley earned a Bachelor of Arts in Business Administration from Coe College in 2007. Mr. Wiley also earned an Associate of Arts from Kirkwood Community College in 2004. Additional information regarding Mr. Wiley's employment history is included below.

### Employment History:

Senior Wealth Advisor and Director of Business Development, Basepoint Wealth, LLC	10/2017 to Present
Financial Advisor, Vice President, Ameriprise Financial Services, Inc.	03/2016 to 10/2017
Investment Adviser Representative, Princor Financial Services Corporation	07/2011 to 03/2016
Program Coordinator, Kirkwood Community College	07/2009 to 01/2011
High School Teacher, College Community School District	07/2007 to 06/2009

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- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP® Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

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- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional

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Conduct, to maintain competence and keep up with developments in the financial planning field;  
and

- Ethics – Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP® Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

#### Item 3 – Disciplinary Information

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**There are no legal, civil or disciplinary events to disclose regarding Mr. Wiley.** Mr. Wiley has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Wiley.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. **As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Wiley.**

However, we do encourage you to independently view the background of Mr. Wiley on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 5940982.

#### Item 4 – Other Business Activities

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Mr. Wiley is an Executive Committee Member and Board of Director at Cedar Rapids Country Club since April 2013. He allots 5 hours per month with no compensation for this activity. He is also a soccer official and a referee since August 1998 and allots 1-9 hours per month for this activity.

Mr. Wiley is a Commission Member at City of Marion Planning & Zoning Commission.

Mr. Wiley is the Treasurer and Member of the Board of Trustees for the Cedar Rapids Community School District Foundation.

Mr. Wiley is a partner at Basepoint Tax & Accounting LLC.

#### Item 5 – Additional Compensation

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Mr. Wiley has additional business activities that are detailed in Item 4 above.

#### Item 6 – Supervision

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Mr. Wiley serves as a Senior Wealth Advisor and Director of Business Development of Basepoint and is supervised by Katherine E Kula, the Chief Compliance Officer. Ms. Kula can be reached at (319) 826-1898.

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Basepoint has implemented a Code of Ethics and internal compliance that guide each Supervised Person in meeting their fiduciary obligations to Clients of Basepoint. Further, Basepoint is subject to regulatory oversight by various agencies. These agencies require registration by Basepoint and its Supervised Persons. As a registered entity, Basepoint is subject to examinations by regulators, which may be announced or unannounced. Basepoint is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.

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**Basepoint Wealth, LLC**

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Fax: (319) 826-1471

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## Form ADV Part 2B – Brochure Supplement

for

**Bryan J. Knudson, CFP®**  
**Senior Wealth Advisor, Managing Member**

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Bryan J. Knudson (CRD# 4642319) in addition to the information contained in the Basepoint Wealth, LLC (“Basepoint” or the “Advisor”, CRD# 289538) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Basepoint Disclosure Brochure or this Brochure Supplement, please contact us at (319) 826-1898.

Additional information about Mr. Knudson is available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 4642319.

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**Basepoint Wealth, LLC**

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Phone: (319) 826-1898

Fax: (319) 826-1471

<http://BasepointWealth.com>

## Item 2 – Educational Background and Business Experience

Bryan J. Knudson, CFP®, born in 1979, is dedicated to advising Clients of Basepoint as a Senior Wealth Advisor and Managing Member. Mr. Knudson also earned a Bachelors of Science in business, major in Marketing from Iowa State University in 2002. Mr. Knudson earned an Associate of Arts in Business from North Iowa Area Community College in 2000. Additional information regarding Mr. Knudson's employment history is included below.

### Employment History:

Senior Wealth Advisor and Managing Member, Basepoint Wealth, LLC	10/2017 to Present
Financial Advisor, Ameriprise Financial Services, Inc.	08/2016 to 10/2017
Financial Advisor, Evanovich Blessing & Associates	11/2004 to 08/2016
Financial Advisor, American Express Financial Advisors	07/2003 to 10/2004

### CERTIFIED FINANCIAL PLANNER™ (“CFP®”)

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP® (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP® Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 71,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP® Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP® Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP® Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional

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Conduct, to maintain competence and keep up with developments in the financial planning field;  
and

- Ethics – Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP® Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

#### Item 3 – Disciplinary Information

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***There are no legal, civil or disciplinary events to disclose regarding Mr. Knudson.*** Mr. Knudson has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Knudson.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Knudson.***

However, we do encourage you to independently view the background of Mr. Knudson on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 4642319.

#### Item 4 – Other Business Activities

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Mr. Knudson is a partner at Basepoint Tax & Accounting LLC.

#### Item 5 – Additional Compensation

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Mr. Knudson has additional business activities that are detailed in Item 4 above.

#### Item 6 – Supervision

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Mr. Knudson serves as a Senior Wealth Advisor and Managing Member of Basepoint and is supervised by Katherine E Kula, the Chief Compliance Officer. Ms. Kula can be reached at (319) 826-1898.

Basepoint has implemented a Code of Ethics and internal compliance that guide each Supervised Person in meeting their fiduciary obligations to Clients of Basepoint. Further, Basepoint is subject to regulatory oversight by various agencies. These agencies require registration by Basepoint and its Supervised Persons. As a registered entity, Basepoint is subject to examinations by regulators, which may be announced or unannounced. Basepoint is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.

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#### **Basepoint Wealth, LLC**

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## Form ADV Part 2B – Brochure Supplement

for

**Scott Cooley, CFP®, ChFC®, CLU®, RICP®**  
**Investment Adviser Representative**

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Scott Cooley (CRD# 6011648) in addition to the information contained in the Basepoint Wealth, LLC (“Basepoint” or the “Advisor”, CRD# 289538) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Basepoint Disclosure Brochure or this Brochure Supplement, please contact us at (319) 826-1898.

Additional information about Mr. Cooley is available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 6011648.

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Fax: (319) 826-1471

<http://BasepointWealth.com>

## Item 2 – Educational Background and Business Experience

Scott Cooley, born in 1986, is dedicated to advising Clients of Basepoint as an Investment Adviser Representative. Additional information regarding Mr. Cooley's employment history is included below.

### Employment History:

Investment Adviser Representative, Basepoint Wealth LLC	09/2018 to Present
Financial Advisor, Northwestern Mutual	01/2012 to 09/2018

### CFP® - Certified Financial Planner

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the "CFP® marks") are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board").

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board's *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- i. Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial planning field; and
- ii. Ethics – Renew an agreement to be bound by the *Standards of Professional Conduct*. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

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CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

#### **ChFC®- Chartered Financial Consultant®**

##### ChFC® MINIMUM QUALIFICATIONS:

- Bachelor's degree or its equivalent, in any discipline, from an accredited university, this qualifies as one year of business experience
- Three years of full-time business experience is required; this three-year period must be within the five years preceding the date of the award (part-time qualifying business experience is also credited toward the three-year requirement with 2,000 hours representing the equivalent of one year full-time experience).
- Must fulfill the ChFC® seven course curriculum, as well as two additional elective courses
- Pass the exams for all required and elective courses
- Pass a background check and candidate fitness standards test. You must reveal any criminal history, pending litigation or ethical violations. The CFP board verifies all employment history, qualifications and disciplinary issues via FINRA's Central Registration Depository.

**CLU®- Chartered Life Underwriter®** ○ Once fulfilling the ChFC® designation, one may also earn the CLU® designation by completing a minimum of three additional courses.

○ For the CLU®, one must complete the remaining core courses and select from the electives list for that program if additional courses are still needed; electives in the ChFC® program may not be used as electives in the CLU® program.

#### Item 3 – Disciplinary Information

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***There are no legal, civil or disciplinary events to disclose regarding Mr. Cooley.*** Mr. Cooley has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Cooley.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Cooley.***

However, we do encourage you to independently view the background of Mr. Cooley on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 6011648.

#### Item 4 – Other Business Activities

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Mr. Cooley is dedicated to the investment advisory activities of Basepoint's Clients. Mr. Cooley does not have any other business activities.

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#### Item 5 – Additional Compensation

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Mr. Cooley is dedicated to the investment advisory activities of Basepoint's Clients. Mr. Cooley does not receive any additional forms of compensation.

#### Item 6 – Supervision

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As a representative of Basepoint Wealth LLC, Mr. Cooley is supervised by Katherine E Kula, the firm's Chief Compliance Officer. Katherine E Kula is responsible for ensuring that Scott Cooley adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Katherine E Kula is (319) 826-1898.

Basepoint has implemented a Code of Ethics and internal compliance that guide each Supervised Person in meeting their fiduciary obligations to Clients of Basepoint. Further, Basepoint is subject to regulatory oversight by various agencies. These agencies require registration by Basepoint and its Supervised Persons. As a registered entity, Basepoint is subject to examinations by regulators, which may be announced or unannounced. Basepoint is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.

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## Form ADV Part 2B – Brochure Supplement

for

### **Shayne Michael Boles** **Investment Adviser Representative**

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Shayne Boles (CRD# 6741219) in addition to the information contained in the Basepoint Wealth, LLC (“Basepoint” or the “Advisor”, CRD# 6741219) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Basepoint Disclosure Brochure or this Brochure Supplement, please contact us at (319) 826-1898.

Additional information about Mr. Boles is available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 6741219 .

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## Item 2 – Educational Background and Business Experience

Shayne Boles, born in 1994, is dedicated to advising Clients of Basepoint as an Investment Adviser Representative. Additional information regarding Mr. Boles' employment history is included below.

### **Employment History:**

Investment Adviser Representative, Basepoint Wealth LLC	01/2017 to Present
Client Service Associate, Basepoint Wealth LLC	10/2017 to 01/2017
Client Service Specialist, Ameriprise Financial	01/2017 to 10/2017

## Item 3 – Disciplinary Information

***There are no legal, civil or disciplinary events to disclose regarding Mr. Boles.*** Mr. Boles has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Boles.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Boles.***

However, we do encourage you to independently view the background of Mr. Boles on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 6741219.

## Item 4 – Other Business Activities

Mr. Boles is not engaged in any investment-related business or occupation (other than this advisory firm).

## Item 5 – Additional Compensation

Mr. Boles does not receive any economic benefit from any person, company, or organization, other than Basepoint Wealth LLC in exchange for providing clients advisory services through Basepoint Wealth LLC.

## Item 6 – Supervision

As a representative of Basepoint Wealth LLC, Mr. Boles is supervised by Katherine E Kula, the firm's Chief Compliance Officer. Katherine E Kula is responsible for ensuring that Shayne Michael Boles adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Katherine E Kula is (319) 826-1898.

Basepoint has implemented a Code of Ethics and internal compliance that guide each Supervised Person in meeting their fiduciary obligations to Clients of Basepoint. Further, Basepoint is subject to regulatory oversight by various agencies. These agencies require registration by Basepoint and its Supervised Persons. As a registered entity, Basepoint is subject to examinations by regulators, which may be

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### **Basepoint Wealth, LLC**

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announced or unannounced. Basepoint is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.

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## Form ADV Part 2B – Brochure Supplement

for

### **Aaron Clark Epstein Investment Adviser Representative**

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Aaron Clark Epstein (CRD# 6743958) in addition to the information contained in the Basepoint Wealth, LLC (“Basepoint” or the “Advisor”, CRD# 289538) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Basepoint Disclosure Brochure or this Brochure Supplement, please contact us at (319) 826-1898.

Additional information about Mr. Epstein is available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 6743958.

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**Basepoint Wealth, LLC**

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<http://BasepointWealth.com>

## Item 2 – Educational Background and Business Experience

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Aaron Clark Epstein, born in 1984, is dedicated to advising Clients of Basepoint as an Investment Adviser Representative. Mr. Epstein earned a Bachelor of Arts in Economics from Cornell College in 2007. Mr. Epstein also earned his Bachelor of Arts in Accounting from Mount Mercy University in 2015. Additional information regarding Mr. Epstein's employment history is included below.

### Employment History:

Investment Adviser Representative, Basepoint Wealth LLC	09/2018 to Present
Staff Coach, Iowa Soccer Association Olympic Development Program	08/2014 to 10/2021
Staff Coach, Prairie Soccer Club	08/2018 to 10/2021
Client Service Associate, Basepoint Wealth LLC	10/2017 to Present
Director of Programming/Coach, Iowa City Alliance Soccer Club	07/2013 to 03/2018

## Item 3 – Disciplinary Information

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***There are no legal, civil or disciplinary events to disclose regarding Mr. Epstein.*** Mr. Epstein has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Epstein.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Epstein.***

However, we do encourage you to independently view the background of Mr. Epstein on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 6743958.

## Item 4 – Other Business Activities

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Basepoint Wealth LLC always acts in the best interest of the client and clients always have the right to decide whether or not to utilize the services of any representative of Basepoint Wealth LLC based on an individual's outside business activities.

## Item 5 – Additional Compensation

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Mr. Epstein does not receive any economic benefit from any person, company, or organization, other than Basepoint Wealth LLC in exchange for providing clients advisory services through Basepoint Wealth LLC.

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### Basepoint Wealth, LLC

4144 Golf Street NE, Cedar Rapids, IA 52402

Phone: (319) 826-1898

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## Item 6 – Supervision

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As a representative of Basepoint Wealth LLC, Mr. Epstein is supervised by Katherine E Kula, the firm's Chief Compliance Officer. Katherine E Kula is responsible for ensuring that Aaron Clark Epstein adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Katherine E Kula is (319) 826-1898.

Basepoint has implemented a Code of Ethics and internal compliance that guide each Supervised Person in meeting their fiduciary obligations to Clients of Basepoint. Further, Basepoint is subject to regulatory oversight by various agencies. These agencies require registration by Basepoint and its Supervised Persons. As a registered entity, Basepoint is subject to examinations by regulators, which may be announced or unannounced. Basepoint is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.

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## Form ADV Part 2B – Brochure Supplement

for

**Kirk Allen Sadilek, CFP®, AIF®, ChFC®, RICP®, CLU®**  
**Senior Wealth Advisor**

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Kirk Allen Sadilek (CRD# 3104096) in addition to the information contained in the Basepoint Wealth, LLC (“Basepoint” or the “Advisor”, CRD# 289538) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Basepoint Disclosure Brochure or this Brochure Supplement, please contact us at (319) 826-1898.

Additional information about Mr. Sadilek is available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 3104096.

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Fax: (319) 826-1471

<http://BasepointWealth.com>

## Item 2 – Educational Background and Business Experience

Kirk Allen Sadilek, CFP®, AIF®, ChFC®, RICP® born in 1965, is dedicated to advising Clients of Basepoint as an Investment Adviser Representative. Mr. Sadilek earned a Bachelor of Arts in Business Administration from Central College in 1987. Additional information regarding Mr. Sadilek's employment history is included below.

### Employment History:

Investment Adviser Representative, Basepoint Wealth LLC	01/2021 to Present
Registered Representative, Principal Financial Group	04/1999 to 01/2021

### CFP® - Certified Financial Planner

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP (with flame design) marks (collectively, the "CFP® marks") are professional certification marks granted in the United States by Certified

Financial Planner Board of Standards, Inc. ("CFP Board").

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP Board's *Standards of Professional Conduct*, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- i. Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the *Code of Ethics* and other parts of the *Standards of Professional Conduct*, to maintain competence and keep up with developments in the financial planning field; and
- ii. Ethics – Renew an agreement to be bound by the *Standards of Professional Conduct*. The Standards prominently require that CFP® professionals provide financial planning services at a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

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## **ChFC®- Chartered Financial Consultant®**

### ChFC® MINIMUM QUALIFICATIONS:

- Bachelor's degree or its equivalent, in any discipline, from an accredited university, this qualifies as one year of business experience
- Three years of full-time business experience is required; this three-year period must be within the five years preceding the date of the award (part-time qualifying business experience is also credited toward the three-year requirement with 2,000 hours representing the equivalent of one year full-time experience).
- Must fulfill the ChFC® seven course curriculum, as well as two additional elective courses
- Pass the exams for all required and elective courses
- Pass a background check and candidate fitness standards test. You must reveal any criminal history, pending litigation or ethical violations. The CFP board verifies all employment history, qualifications and disciplinary issues via FINRA's Central Registration Depository.

### Item 3 – Disciplinary Information

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***There are no legal, civil or disciplinary events to disclose regarding Mr. Sadilek.*** Mr. Sadilek has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Sadilek.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Sadilek.***

However, we do encourage you to independently view the background of Mr. Sadilek on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD#3104096 .

### Item 4 – Other Business Activities

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Kirk Allen Sadilek is a licensed insurance agent. From time to time, he will offer clients advice or products from those activities. Clients always have the right to decide whether or not to utilize the services of any representative of Basepoint Wealth LLC in such individual's outside capacities.

Kirk Allen Sadilek is a board member/ committee member of \*\*Catholic Foundation in the Archdiocese of Dubuque (Iowa).

Kirk Allen Sadilek is the owner/investor of LCRE, LLC, a commercial real estate.

Basepoint Wealth LLC always acts in the best interest of the client and clients always have the right to decide whether or not to utilize the services of any representative of Basepoint Wealth LLC based on an individual's outside business activities.

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#### **Basepoint Wealth, LLC**

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<http://BasepointWealth.com>



#### Item 5 – Additional Compensation

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Mr. Sadilek does not receive any economic benefit from any person, company, or organization, other than Basepoint Wealth LLC in exchange for providing clients advisory services through Basepoint Wealth LLC.

#### Item 6 – Supervision

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As a representative of Basepoint Wealth LLC, Mr. Sadilek is supervised by Katherine E Kula, the firm's Chief Compliance Officer. Katherine E Kula is responsible for ensuring that Kirk Allen Sadilek adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Katherine E Kula is (319) 826-1898.

Basepoint has implemented a Code of Ethics and internal compliance that guide each Supervised Person in meeting their fiduciary obligations to Clients of Basepoint. Further, Basepoint is subject to regulatory oversight by various agencies. These agencies require registration by Basepoint and its Supervised Persons. As a registered entity, Basepoint is subject to examinations by regulators, which may be announced or unannounced. Basepoint is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.

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<http://BasepointWealth.com>



## Form ADV Part 2B – Brochure Supplement

for

**Ryan Robert Watermiller, CFP®  
Investment Adviser Representative**

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Ryan Robert Watermiller (CRD# 7236698) in addition to the information contained in the Basepoint Wealth, LLC (“Basepoint” or the “Advisor”, CRD# 289538) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Basepoint Disclosure Brochure or this Brochure Supplement, please contact us at (319) 826-1898.

Additional information about Mr. Watermiller is available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 7236698.

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## Item 2 – Educational Background and Business Experience

Ryan Robert Watermiller, born in 1987, is dedicated to advising Clients of Basepoint as an Investment Adviser Representative. Additional information regarding Mr. Watermiller's employment history is included below.

### Employment History:

Investment Adviser Representative, Basepoint Wealth LLC	03/2021 to Present
Principal and CCO, Ankeny Financial Planning, LLC	02/2020 – 03/2021
Software Engineer, Principal Financial Group	08/2010 – 12/2019

### CERTIFIED FINANCIAL PLANNER™ (“CFP®”)

The CERTIFIED FINANCIAL PLANNER™, CFP® and federally registered CFP® (with flame design) marks (collectively, the “CFP® marks”) are professional certification marks granted in the United States by Certified Financial Planner Board of Standards, Inc. (“CFP® Board”).

The CFP® certification is a voluntary certification; no federal or state law or regulation requires financial planners to hold CFP® certification. It is recognized in the United States and a number of other countries for its (1) high standard of professional education; (2) stringent code of conduct and standards of practice; and (3) ethical requirements that govern professional engagements with clients. Currently, more than 71,000 individuals have obtained CFP® certification in the United States.

To attain the right to use the CFP® marks, an individual must satisfactorily fulfill the following requirements:

- Education – Complete an advanced college-level course of study addressing the financial planning subject areas that CFP® Board's studies have determined as necessary for the competent and professional delivery of financial planning services, and attain a Bachelor's Degree from a regionally accredited United States college or university (or its equivalent from a foreign university). CFP® Board's financial planning subject areas include insurance planning and risk management, employee benefits planning, investment planning, income tax planning, retirement planning, and estate planning;
- Examination – Pass the comprehensive CFP® Certification Examination. The examination includes case studies and client scenarios designed to test one's ability to correctly diagnose financial planning issues and apply one's knowledge of financial planning to real world circumstances;
- Experience – Complete at least three years of full-time financial planning-related experience (or the equivalent, measured as 2,000 hours per year); and
- Ethics – Agree to be bound by CFP® Board's Standards of Professional Conduct, a set of documents outlining the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements in order to maintain the right to continue to use the CFP® marks:

- Continuing Education – Complete 30 hours of continuing education hours every two years, including two hours on the Code of Ethics and other parts of the Standards of Professional Conduct, to maintain competence and keep up with developments in the financial planning field; and
- Ethics – Renew an agreement to be bound by the Standards of Professional Conduct. The Standards prominently require that CFP® professionals provide financial planning services at

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a fiduciary standard of care. This means CFP® professionals must provide financial planning services in the best interests of their clients.

CFP® professionals who fail to comply with the above standards and requirements may be subject to CFP® Board's enforcement process, which could result in suspension or permanent revocation of their CFP® certification.

#### Item 3 – Disciplinary Information

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***There are no legal, civil or disciplinary events to disclose regarding Mr. Watermiller.*** Mr. Watermiller has never been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Mr. Watermiller.

Securities laws require an advisor to disclose any instances where the advisor or its advisory persons have been found liable in a legal, regulatory, civil or arbitration matter that alleges violation of securities and other statutes; fraud; false statements or omissions; theft, embezzlement or wrongful taking of property; bribery, forgery, counterfeiting, or extortion; and/or dishonest, unfair or unethical practices. ***As previously noted, there are no legal, civil or disciplinary events to disclose regarding Mr. Watermiller.***

However, we do encourage you to independently view the background of Mr. Watermiller on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD#7236698.

#### Item 4 – Other Business Activities

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Ryan Robert Watermiller is not engaged in any investment-related business or occupation (other than this advisory firm).

#### Item 5 – Additional Compensation

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Mr. Watermiller does not receive any economic benefit from any person, company, or organization, other than Basepoint Wealth LLC in exchange for providing clients advisory services through Basepoint Wealth LLC.

#### Item 6 – Supervision

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As a representative of Basepoint Wealth LLC, Mr. Watermiller is supervised by Katherine E Kula, the firm's Chief Compliance Officer. Katherine E Kula is responsible for ensuring that Ryan Robert Watermiller adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Katherine E Kula is (319) 826-1898.

Basepoint has implemented a Code of Ethics and internal compliance that guide each Supervised Person in meeting their fiduciary obligations to Clients of Basepoint. Further, Basepoint is subject to regulatory oversight by various agencies. These agencies require registration by Basepoint and its Supervised Persons. As a registered entity, Basepoint is subject to examinations by regulators, which may be announced or unannounced. Basepoint is required to periodically update the information provided to these agencies and to provide various reports regarding the business activities and assets of the Advisor.

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**Form ADV Part 2B – Brochure Supplement**  
**for**

**Keith “KC” Pochobradsky**  
**Investment Adviser Representative**

This Form ADV 2B (“Brochure Supplement”) provides information about the background and qualifications of Keith “KC” Pochobradsky (CRD# 5408024) in addition to the information contained in the Basepoint Wealth, LLC (“Basepoint” or the “Advisor”, CRD# 289538) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you have any questions about the contents of the Basepoint Disclosure Brochure or this Brochure Supplement, please contact us at (319) 826-1898.

Additional information about Keith Pochobradsky is available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching with his full name or his Individual CRD# 5408024.

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Item 2 – Educational Background and Business Experience

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Keith “KC” Pochobradsky was born in 1984. Mr. Pochobradsky attended Coe College and earned his Bachelor of Arts in Business Administration as well as his Bachelor of Arts in Psychology in 2007.

**Employment History:**

Basepoint Wealth, LLC - Investment Advisor Representative	09/2022-Present
Carson Wealth – Wealth Advisor	11/2018-09/2022
CWM, LLC – Investment Advisor Representative	11/2018-09/2022
Cetera Advisor Networks LLC – Investment Advisor Representative	01/2019-09/2022
Cetera Advisor Networks LLC – Registered Representative	11/2018-09/2022
Farmers Investment Services – Registered Representative	11/2018-09/2022
Northwest Mutual Investment Services, LLC – Associate Agent	07/2018-11/2018
Northwest Mutual Investment Services, LLC – Investment Advisor Rep	04/2015-11/2018
Northwest Mutual Investment Services, LLC – Registered Representative	11/2007-11/2018

Item 3 – Disciplinary Information

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Keith Pochobradsky does not have any legal or disciplinary events required to be disclosure in response to this item.

Item 4 – Other Business Activities

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Keith Pochobradsky is not engaged in any investment-related business or occupation (other than this advisory firm).

Item 5 – Additional Compensation

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Keith Pochobradsky does not receive any additional compensation.

Item 6 – Supervision

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As a representative of Basepoint Wealth LLC, Mr. Pochobradsky is supervised by Katherine E Kula, the firm's Chief Compliance Officer. Katherine E Kula is responsible for ensuring that Keith Pochobradsky adheres to all required regulations regarding the activities of an Investment Adviser Representative, as well as all policies and procedures outlined in the firm's Code of Ethics and compliance manual. The phone number for Katherine E Kula is (319) 826-1898.

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