

**FORM ADV PART 2A
DISCLOSURE BROCHURE**

Patriot Wealth Planners LLC

Office Address:

1700 Woodlands Dr
Maumee, OH 43537

Mailing Address:

6760 Mill Ridge Road
Maumee, OH 43537

Tel: 419-482-8051

Email: scott@patriotwealthplanners.com

Website: www.patriotwealthplanners.com

January 18, 2024

This brochure provides information about the qualifications and business practices of Patriot Wealth Planners LLC. Being registered as an investment adviser does not imply a certain level of skill or training. If you have any questions about the contents of this brochure, please contact us at 419-482-8051. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission, or by any state securities authority.

**ADDITIONAL INFORMATION ABOUT PATRIOT WEALTH PLANNERS LLC
(CRD #328307) IS AVAILABLE ON THE SEC'S WEBSITE AT
WWW.ADVISERINFO.SEC.GOV**

Item 2: Material Changes

Annual Update

The Material Changes section of this brochure will be updated annually or when material changes occur since the previous release of the Firm Brochure.

Material Changes since the Last Update

This update is in accordance with the required annual update for Investment Advisors. Since the last filing of this brochure on September 29th, 2023, there have been no material changes.

Full Brochure Available

This Firm Brochure being delivered is the complete brochure for the Firm.

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Item 4: Advisory Business

Firm Description

Patriot Wealth Planners LLC (“PWP”) was founded and became registered as an investment adviser in 2023. Scott Osborn is 100% owner and Chief Compliance Officer.

Types of Advisory Services

THIRD PARTY MANAGERS

When deemed appropriate for the Client, PWP will recommend that Clients utilize the services of a Third Party Manager (“TPM”) to manage a portion of, or your entire portfolio. All TPMs that PWP recommends must either be registered as investment advisers with the Securities and Exchange Commission or with the appropriate state authority(ies).

After gathering information about your financial situation and objectives, an investment advisor representative of our firm will make recommendations regarding the suitability of a TPM or investment style based on, but not limited to, your financial needs, investment goals, tolerance for risk, and investment objectives. Upon selection of a TPM, PWP will monitor the performance of the TPM to ensure their performance and investment style remains aligned with your investment goals and objectives.

In such circumstances, PWP receives referral fees from the TPM. We act as the liaison between the Client and the TPM in return for an ongoing portion of the advisory fees charged by the TPM. We help the Client complete the necessary paperwork of the TPM and provide ongoing services to the Client. Ongoing services include but are not limited to:

1. Meet with the Client to discuss any changes in status, objectives, time horizon or suitability;
2. Update the TPM with any changes in Client status which is provided to PWP by the Client;
3. Review the statements provided by the TPM; and
4. Deliver the Form ADV Part 2, Privacy Notice and Disclosure Statement of the TPM to the Client.

PWP does not have discretion or custody of Client funds. Clients placed with TPM will be billed in accordance with the TPM’s Fee Schedule which will be disclosed to the Client prior to signing an agreement.

FINANCIAL PLANNING AND CONSULTING

Full Financial Plan

Financial planning services include a complete evaluation of a Client’s current and future financial state and will be provided by using currently known variables to predict future cash flows, asset values and withdrawal plans. PWP will use current net worth, tax liabilities, asset allocation, future retirement date and estate plans in developing financial plans. Typical topics reviewed may include but are not limited to: financial goals, personal financial consulting, investment analysis, retirement strategy, cash flow analysis, risk management, long-term investment and estate preservation.

Consultation Services

This service is appropriate for Clients who need assistance with individual topics. This is not a detailed financial review and will not result in a complete financial plan. Client may

select individual topics above, or other topics as may be deemed appropriate. The individual topics that will be included in this service will be outlined and agreed upon on the financial planning and consulting agreement.

If a conflict of interest exists between the interests of PWP and the interests of the Client, the Client is under no obligation to act upon any recommendation. Implementation of any recommendations will be at the discretion of the Client. If the Client elects to act on any of the recommendations, the Client is under no obligation to affect the transaction through PWP. Financial plans and consultations will be completed and delivered inside of ninety (90) days contingent upon timely delivery of all required documentation.

Client Tailored Services and Client Imposed Restrictions

The goals and objectives for each Client are documented in our Client files. Investment strategies are created that reflect the stated goals and objectives. Clients may impose restrictions on investing in certain securities or types of securities. Agreements may not be assigned without written Client consent.

Wrap Fee Programs

PWP does not sponsor any wrap fee programs.

Client Assets under Management

As this is the initial filing of this brochure, PWP has no assets under management.

Item 5: Fees and Compensation

Method of Compensation and Fee Schedule

THIRD PARTY MANAGERS

Each TPM program has a stated fee range that will be described in the TPM's disclosure documents and Contract which will be provided to the Client prior to the selection of that TPM. The annual asset management fee when using a TPM can be up to 2.00%. The fee may be billed monthly or quarterly either in advance or arrears as determined by the selected TPM. PWP will receive a portion of the total fee charged up to 1.60% for our continued consultation, which is described in our Agreement.

The Client's signature is required to confirm consent for services within the TPM Contract. The fees for TPM will be disclosed in the Form ADV Part 2 and Contract of the TPM. Client will receive a copy of the TPM's Form ADV Part 2 and Contract. If Client receives the TPM's Form ADV Part 2 concurrent with initialing below, Client will have five (5) business days to terminate TPM services without fee or penalty.

PWP doesn't calculate or deduct fees from Clients accounts as this is done by the TPM. The Client's written authorization will be required in order for the custodian of record to deduct advisory fees from your investment account. PWP's portion of the advisory fee will be remitted directly to our firm via the TPM.

FINANCIAL PLANNING AND CONSULTING

PWP charges either a fixed fee or hourly fee for financial planning and consulting services. Prior to the planning process the Client will be provided an estimated fee. Fees for financial planning and consulting services are billed 50% in advance with the balance due upon plan delivery. Services are completed and delivered inside of ninety (90) days contingent upon timely Client delivery of all required documentation. Implementation of recommendations

will be at the discretion of the Client. Client may cancel within five (5) business days of signing an Agreement with no obligation and without penalty. If the Client cancels after five (5) business days, any unearned fees will be refunded to the Client, or any unpaid earned fees will be due to PWP based on the hours of work expended by PWP.

Fixed Fees

Financial planning services are offered based on a negotiable fixed fee between \$1,000 and \$5,000 dependent upon the complexity of the Client's specific situation.

Hourly Fees

Consulting services are offered based on an hourly fee of \$300 per hour.

Client Payment of Fees

Fees for asset management services provided by the TPM are deducted from a designated Client account by the TPM to facilitate billing. The Client must consent in advance to direct debiting of their investment account.

Fees for financial plans will be billed to the Client and paid directly to PWP. Clients can choose to pay for financial planning via the following methods:

- Check – to be remitted by Client to PWP
- Electronic Payment via Credit Card

Additional Client Fees Charged

Custodians may charge transaction fees and other related costs on the purchases or sales of mutual funds, equities, bonds, options and exchange-traded funds. Mutual funds, money market funds and exchange-traded funds also charge internal management fees, which are disclosed in the fund's prospectus. PWP does not receive any compensation from these fees. All of these fees are in addition to the management fee you pay to the TPM.

Prepayment of Client Fees

Financial planning fees are billed 50% in advance.

If the Client cancels after five (5) business days, any unearned fees will be refunded to the Client. Refunds will be sent to the Client within 30 days of the cancellation request.

External Compensation for the Sale of Securities to Clients

PWP does not receive any external compensation for the sale of securities to Clients, nor do any of the investment advisor representatives of PWP.

Item 6: Performance-Based Fees and Side-by-Side Management

Sharing of Capital Gains

Fees are not based on a share of the capital gains or capital appreciation of managed securities.

PWP does not use a performance-based fee structure because of the conflict of interest. Performance based compensation may create an incentive for PWP to recommend an investment that may carry a higher degree of risk to the Client.

Item 7: Types of Clients

Description

PWP generally provides investment advice to individuals, high net worth individuals, trusts or estates. Client relationships vary in scope and length of service.

Account Minimums

PWP does not require a minimum to open an account.

Item 8: Methods of Analysis, Investment Strategies and Risk of Loss

Methods of Analysis

TPMs utilized by PWP may use various methods of analysis to determine the proper strategy for the Client referred and these will be disclosed in the TPM's Form ADV Part 2. Investing in securities involves risk of loss that Clients should be prepared to bear. Past performance is not a guarantee of future returns.

Analysis of TPM strategies includes an examination of the experience, investment philosophies and performance of the investment managers to determine if the TPM can invest over time with varying economic conditions. PWP also reviews the TPM's underlying strategies, holdings, concentrations and leverage as part of their overall risk assessment. Investing in securities involves risk of loss that Clients should be prepared to bear. Past performance is not a guarantee of future returns.

Investment Strategy

The investment strategy for a specific Client is based upon the objectives stated by the Client during consultations. The Client may change these objectives at any time by providing written notice to PWP. Each Client executes a Client profile form or similar form that documents their objectives and their desired investment strategy.

Security Specific Material Risks

All investment programs have certain risks that are borne by the investor. Our investment approach constantly keeps the risk of loss in mind.

The risks associated with utilizing TPMs include:

- Manager Risk
 - TPM fails to execute the stated investment strategy
- Business Risk
 - TPM has financial or regulatory problems
- The specific risks associated with the portfolios of the TPMs are disclosed in the TPM's Form ADV Part 2.

Item 9: Disciplinary Information

Criminal or Civil Actions

PWP and its management have not been involved in any criminal or civil action.

Administrative Enforcement Proceedings

PWP and its management have not been involved in administrative enforcement proceedings.

Self-Regulatory Organization Enforcement Proceedings

PWP and its management have not been involved in any self-regulatory organizational enforcement proceedings that are material to a Client's or prospective Client's evaluation of PWP or the integrity of its management.

Item 10: Other Financial Industry Activities and Affiliations

Broker-Dealer or Representative Registration

PWP is not registered as a broker-dealer and no affiliated representatives of PWP are registered representatives of a broker-dealer.

Futures or Commodity Registration

Neither PWP nor its affiliated representatives are registered or have an application pending to register as a futures commission merchant, commodity pool operator, or a commodity trading advisor.

Material Relationships Maintained by this Advisory Business and Conflicts of Interest

Managing Member Scott Osborn is a licensed insurance agent and business consultant. Approximately 10% of his time is spent on these activities. He will offer Clients insurance products and business consulting and receive separate compensation.

These practices represent conflicts of interest because it gives an incentive to recommend products and services based on the compensation amount received. This conflict is mitigated by disclosures, procedures and the firm's fiduciary obligation to place the best interest of the Client first and the Clients are not required to purchase any products or services. Clients have the option to purchase these products through another insurance agent or business consulting of their choosing.

Mr. Osborn is also a senior manager at Whirlpool and an Officer/Major with the Ohio Army National Guard. Approximately 65% of his time is spent on these activities. There are no conflicts of interest with these activities for advisory Clients of PWP.

Mr. Osborn will also be dually registered with The Retirement Guys Formula as an Investment Advisor Representative. Once Clients have been transferred from The Retirement Guys Formula to PWP, Mr. Osborn will resign his affiliation with The Retirement Guys Formula.

Recommendations or Selections of Other Investment Advisors and Conflicts of Interest

Clients placed with TPMs will be billed in accordance with the TPM's fee schedule which will be disclosed to the Client prior to signing an agreement. When referring Clients to a TPM, the Client's best interest will be the main determining factor of PWP. PWP ensures that before selecting other advisors for Client that the other advisors are properly licensed or registered as an investment advisor.

These practices represent conflicts of interest because PWP is paid a fee for recommending the TPMs and may choose to recommend a particular TPM based on the fee PWP is to receive. This conflict is mitigated by disclosures, procedures and the firm's fiduciary obligation to act in the best interest of his Clients. Clients are not required to accept any recommendation of TPMs given by PWP and have the option to receive investment advice through other money managers of their choosing.

Item 11: Code of Ethics, Participation or Interest in Client Transactions and Personal Trading

Code of Ethics Description

The affiliated persons (affiliated persons include employees and/or independent contractors) of PWP have committed to a Code of Ethics (“Code”). The purpose of our Code is to set forth standards of conduct expected of PWP affiliated persons and addresses conflicts that may arise. The Code defines acceptable behavior for affiliated persons of PWP. The Code reflects PWP and its supervised persons’ responsibility to act in the best interest of their Client.

One area which the Code addresses is when affiliated persons buy or sell securities for their personal accounts and how to mitigate any conflict of interest with our Clients. We do not allow any affiliated persons to use non-public material information for their personal profit or to use internal research for their personal benefit in conflict with the benefit to our Clients.

PWP’s policy prohibits any person from acting upon or otherwise misusing non-public or inside information. No advisory representative or other affiliated person, officer or director of PWP may recommend any transaction in a security or its derivative to advisory Clients or engage in personal securities transactions for a security or its derivatives if the advisory representative possesses material, non-public information regarding the security.

PWP’s Code is based on the guiding principle that the interests of the Client are our top priority. PWP’s officers, directors, advisors, and other affiliated persons have a fiduciary duty to our Clients and must diligently perform that duty to maintain the complete trust and confidence of our Clients. When a conflict arises, it is our obligation to put the Client’s interests over the interests of either affiliated persons or the company.

The Code applies to “access” persons. “Access” persons are affiliated persons who have access to non-public information regarding any Clients’ purchase or sale of securities, or non-public information regarding the portfolio holdings of any reportable fund, who are involved in making securities recommendations to Clients, or who have access to such recommendations that are non-public.

PWP will provide a copy of the Code of Ethics to any Client or prospective Client upon request.

Investment Recommendations Involving a Material Financial Interest and Conflict of Interest

PWP and its affiliated persons do not recommend to Clients securities in which we have a material financial interest.

Advisory Firm Purchase of Same Securities Recommended to Clients and Conflicts of Interest

PWP and its affiliated persons may buy or sell securities that are also held by Clients. In order to mitigate conflicts of interest such as trading ahead of Client transactions, affiliated persons are required to disclose all reportable securities transactions as well as provide PWP with copies of their brokerage statements.

The Chief Compliance Officer of PWP is Scott Osborn. He reviews all trades of the affiliated persons each quarter. The personal trading reviews ensure that the personal trading of affiliated persons does not front run or disadvantage trading for Clients.

Client Securities Recommendations or Trades and Concurrent Advisory Firm Securities Transactions and Conflicts of Interest

PWP does not have a material financial interest in any securities being recommended. However, affiliated persons may buy or sell securities at the same time they buy or sell securities for Clients. In order to mitigate conflicts of interest such as front running, affiliated persons are required to disclose all reportable securities transactions as well as provide PWP with copies of their brokerage statements.

The Chief Compliance Officer of PWP is Scott Osborn. He reviews all trades of the affiliated persons each quarter. The personal trading reviews ensure that the personal trading of affiliated persons does not front run or disadvantage trading for Clients.

Item 12: Brokerage Practices

Factors Used to Select Broker-Dealers for Client Transactions

PWP does not recommend the use of a particular broker-dealer and utilizes the broker-dealer required by the TPM.

- *Directed Brokerage*
PWP does not allow Client directed brokerage accounts.
- *Brokerage for Client Referrals*
PWP does not receive Client referrals from any custodian in exchange for using that broker-dealer.
- *Best Execution*
Investment advisors who manage or supervise Client portfolios have a fiduciary obligation of best execution. PWP does not manage Client accounts.
- *Soft Dollar Arrangements*
PWP does not receive soft dollar benefits.

Aggregating Securities Transactions for Client Accounts

PWP does not trade in Client accounts therefore aggregation of securities transactions is not applicable.

Item 13: Review of Accounts

Schedule for Periodic Review of Client Accounts or Financial Plans and Advisory Persons Involved

Account reviews are performed quarterly by the Chief Compliance Officer of PWP, Scott Osborn. Account reviews are performed more frequently when market conditions dictate. Reviews of Client accounts include, but are not limited to, a review of Client documented risk tolerance, adherence to account objectives, investment time horizon, and suitability criteria.

Financial plans generated are updated as requested by the Client and pursuant to a new or amended agreement.

Review of Client Accounts on Non-Periodic Basis

Other conditions that may trigger a review of Clients' accounts are changes in the tax laws, new investment information, and changes in a Client's own situation.

Content of Client Provided Reports and Frequency

Clients receive written account statements no less than quarterly for managed accounts. Account statements are issued by the Client's custodian. Client receives confirmations of each transaction in account from custodian and an additional statement during any month in which a transaction occurs.

Item 14: Client Referrals and Other Compensation

Economic Benefits Provided to the Advisory Firm from External Sources and Conflicts of Interest

PWP receives a portion of the annual management fees collected by the TPM(s) to whom PWP refers Clients.

This situation creates a conflict of interest because PWP and/or its Investment Advisor Representative have an incentive to decide what TPMs to use because of the higher solicitor fees to be received by PWP. However, when referring Clients to a TPM, the Client's best interest will be the main determining factor of PWP.

Advisory Firm Payments for Client Referrals

PWP does not compensate for Client referrals.

Item 15: Custody

Account Statements

All assets are held at qualified custodians, which means the custodians provide account statements directly to Clients at their address of record at least quarterly. Clients are urged to carefully compare the account statements received directly from their custodians to any documentation or reports prepared by PWP or TPM.

Item 16: Investment Discretion

Discretionary Authority for Trading

PWP does not manage securities accounts on behalf of Clients.

Item 17: Voting Client Securities

Proxy Votes

PWP does not vote proxies on securities. Clients are expected to vote their own proxies. The Client will receive their proxies directly from the custodian of their account or from a transfer agent.

When assistance on voting proxies is requested, PWP will provide recommendations to the Client. If a conflict of interest exists, it will be disclosed to the Client. If the Client requires assistance or has questions, they can reach out to the investment advisor representatives of the firm at the contact information on the cover page of this document.

Item 18: Financial Information

Balance Sheet

A balance sheet is not required to be provided to Clients because PWP does not serve as a custodian for Client funds or securities and PWP does not require prepayment of fees of more than \$500 per Client and six months or more in advance.

Financial Conditions Reasonably Likely to Impair Advisory Firm's Ability to Meet Commitments to Clients

PWP has no condition that is reasonably likely to impair our ability to meet contractual commitments to our Clients.

Bankruptcy Petitions during the Past Ten Years

PWP has not had any bankruptcy petitions in the last ten years.

Item 19: Requirements for State Registered Advisors

Principal Executive Officers and Management Persons

The education and business background for all management and supervised persons can be found in the Part 2B of this Brochure.

Outside Business Activities

The outside business activities for all management and supervised persons can be found in the Part 2B of this Brochure.

Performance Based Fee Description

Neither PWP nor its management receive performance based fees. Please see Item 6 of the ADV 2A for more information.

Disclosure of Material Facts Related to Arbitration or Disciplinary Actions Involving Management Persons

Neither PWP nor its management have been involved in any of the following:

1. An award or otherwise been found liable in an arbitration claim alleging damages in excess of \$2,500, involving any of the following:
 - An investment or an investment-related business or activity;
 - Fraud, false statement(s) or omissions;
 - Theft, embezzlement or other wrongful taking of property;
 - Bribery, forgery, counterfeiting, or extortion;
 - Dishonest, unfair or unethical practices.
 2. An award or otherwise been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
 - An investment or an investment-related business or activity;
 - Fraud, false statement(s) or omissions;
 - Theft, embezzlement or other wrongful taking of property;
 - Bribery, forgery, counterfeiting, or extortion;
 - Dishonest, unfair or unethical practices.
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Material Relationship Maintained by this Advisory Business or Management persons with Issuers of Securities

There are no material relationships with issuers of securities to disclose.

Item 1 Cover Page

SUPERVISED PERSON BROCHURE
FORM ADV PART 2B

Scott Osborn

Patriot Wealth Planners LLC

Office Address:

1700 Woodlands Dr
Maumee, OH 43537

Mailing Address:

6760 Mill Ridge Road
Maumee, OH 43537

Tel: 419-482-8051

Email: scott@patriotwealthplanners.com

Website: www.patriotwealthplanners.com

January 18, 2024

This brochure supplement provides information about Scott Osborn and supplements the Patriot Wealth Planners LLC brochure. You should have received a copy of that brochure. Please contact Scott Osborn if you did not receive the brochure or if you have any questions about the contents of this supplement.

ADDITIONAL INFORMATION ABOUT SCOTT OSBORN (CRD #6938894) IS AVAILABLE ON THE SEC'S WEBSITE AT WWW.ADVISERINFO.SEC.GOV.

Brochure Supplement (Part 2B of Form ADV) Supervised Person Brochure

Principal Executive Officer – Scott Osborn

- Year of birth: 1983
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Item 2 - Educational Background and Business Experience

Educational Background:

- University of Toledo; BS – Engineering; 12/2005

Business Experience:

- Patriot Wealth Planners LLC; Managing Member/Investment Advisor Representative/CCO; 09/2023 – Present
 - Scott Osborn Consulting, LLC; Principal/Senior Consultant; 05/2020 – Present
 - Whirlpool; Senior Manager; 08/2013 – Present
 - Ohio Army National Guard; Officer/Major; 01/2005 - Present
 - The Retirement Guys Formula; Investment Advisor Representative; 04/2018 – Present
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Item 3 - Disciplinary Information

Mr. Osborn **has never been** involved in a criminal or civil action in a domestic, foreign or military court of competent jurisdiction for which he:

- Was convicted of, or pled guilty or nolo contendere (“no contest”) to (a) any felony; (b) misdemeanor that involved investments or an investment-related business, fraud, false statement or omissions, wrongful taking of property, bribery, perjury, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses;
- Is the named subject of a pending criminal proceeding that involves an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;
- Was found to have been involved in a violation of an investment-related statute or regulation; or
- Was the subject of any order, judgement or decree permanently or temporarily enjoining, or otherwise limiting, him from engaging in any investment related activity, or from violating any investment-related statute, rule, or order.

Mr. Osborn **has never** had an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority in which he:

- Was found to have caused an investment-related business to lose its authorization to do business; or the subject of an order by the agency or authority;
- Was found to have been involved in a violation of an investment-related statute or regulation or was the subject of an order by the agency or authority (a) denying, suspending or revoking the authorization of the supervised person to act in an investment-related business; (b) barring or suspending his association with an investment-related business; (c) otherwise significantly limiting his investment-related activities; or (d) imposing a civil money penalty of more than \$2,500 on him.

Mr. Osborn **has never been** the subject of a self-regulatory organization (SRO) proceeding in which he:

- Was found to have caused an investment-related business to lose its authorization to do business; or
- Was found to have been involved in a violation of the SRO's rules and was: (a) barred or suspended from membership or from association with other members or was expelled from membership; (b) otherwise significantly limited from investment-related activities; or (c) fined more than \$2,500.

Mr. Osborn **has not been** involved in any other hearing or formal adjudication in which a professional attainment, designation, or license of the supervised person was revoked or suspended because of a violation of rules relating to professional conduct.

Item 4 - Other Business Activities

Mr. Osborn is a licensed insurance agent and business consultant. Approximately 10% of his time is spent on these activities. He will offer Clients insurance products and business consulting services and receive separate compensation.

These practices represent conflicts of interest because it gives an incentive to recommend products and services based on the compensation amount received. This conflict is mitigated by disclosures, procedures and the firm's fiduciary obligation to place the best interest of the Client first and the Clients are not required to purchase any products. Clients have the option to purchase these products and services through another insurance agent or business consultant of their choosing.

Mr. Osborn is also a senior manager at Whirlpool and an Officer/Major with the Ohio Army National Guard. Approximately 65% of his time is spent on these activities. There are no conflicts of interest with these activities for advisory Clients of PWP.

Mr. Osborn will also be dually registered with The Retirement Guys Formula as an Investment Advisor Representative. Once Clients have been transferred from The Retirement Guys Formula to PWP, Mr. Osborn will resign his affiliation with The Retirement Guys Formula.

Item 5 - Additional Compensation

Mr. Osborn does not receive any performance-based fees and does not receive any additional compensation for performing advisory services other than what is described in Item 5 of Part 2A.

Item 6 - Supervision

Mr. Osborn is the Chief Compliance Officer of PWP. He is responsible for all supervision, formulation and monitoring of investment advice offered to Clients. He will adhere to the policies and procedures as described in the firm's Compliance Manual. He can be reached at scott@patriotwealthplanners.com or 419-482-8051.

Item 7 - Requirements for State-Registered Advisors

Mr. Osborn **has not been** involved in any of the following:

- An award or otherwise been found liable in an arbitration claim alleging damages in excess of \$2,500 involving any of the following:
 - An investment or an investment-related business or activity;
 - Fraud, false statement(s) or omissions;

- Theft, embezzlement or other wrongful taking of property;
 - Bribery, forgery, counterfeiting, or extortion;
 - Dishonest, unfair or unethical practices.
- An award or otherwise been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
 - An investment or an investment-related business or activity;
 - Fraud, false statement(s) or omissions;
 - Theft, embezzlement or other wrongful taking of property;
 - Bribery, forgery, counterfeiting, or extortion;
 - Dishonest, unfair or unethical practices.

Mr. Osborn **has never been** the subject of a bankruptcy petition.