



March 2021
Client Relationship Summary ("Form CRS")

CLIENT RELATIONSHIP SUMMARY

Marquette Asset Management, LLC d/b/a Marquette Wealth Management ("Marquette") is registered with the Securities and Exchange Commission as an investment adviser. Investment advisory services and fees differ from those of a broker-dealer, and it is important for you to understand the differences. Free and simple tools are available to research firms and financial professionals at www.investor.gov/CRS, which also provides educational materials about the differences between investment advisers and broker-dealers, as well as basic tutorials on investing.

WHAT INVESTMENT SERVICES AND ADVICE CAN YOU PROVIDE ME?

- We are a fiduciary and offer comprehensive wealth management services including investment management, financial and retirement planning, and account aggregation to retail investors.
- We will discuss your current financial situation, goals, and risk tolerance with you. Using that information, we design a strategy to help you achieve those goals. We continuously monitor your portfolio and meet with you at least annually to address any changes in your financial situation and review recommended changes to your portfolio.
- We work with you to create an Investment Policy Statement ("IPS") that defines the investment strategy based on your financial goals. You may impose reasonable restrictions on the management of your account. We will also have you sign an Investment Management Agreement for each account. That agreement gives us full discretion to buy and sell investments in accordance with the strategy defined in the IPS without asking you in advance.
- We do not offer proprietary investment products. We generally manage client accounts using a combination of investments, which may include domestic and international Exchange-Traded Funds (ETFs), mutual funds, fixed income securities, Master Limited Partnerships (MLPs), Real Estate Investment Trusts (REITs), hedge funds, separately managed accounts and private equity funds.
- We also provide financial planning services on a stand-alone basis for those clients that do not currently require professional investment management.
- Our minimum relationship size is \$250,000 of investable assets.

For additional information, please see [Items 4 and 7 of our Form ADV, Part 2A Brochure](#).

Ask your Marquette Wealth advisor: Given my financial situation, should I choose an investment advisory service? Why or why not? How will you choose investments to recommend to me? What is your relevant experience, including your licenses, education, and other qualifications? What do these qualifications mean?

WHAT FEES WILL I PAY?

- We charge a quarterly fee on the investments we manage for you. The fees are based on the average daily market value of your investments during the prior quarter. Our standard fees range from 0.50% to 1.00% depending on the value of your account(s) we manage. Fees for relationships over \$10,000,000 are negotiated. Financial planning is included in our wealth management service for no additional fee. Annual fees for financial planning only engagements are negotiated based on the complexity of the assignment. The minimum annual fee is \$2,500.
- Because our management fees collected are based on the value of your account, we have an incentive to increase the amount of assets in your account. This may occur through (i) appreciation in price of the securities that we purchase on your behalf; (ii) your adding additional funds to your account to be managed by us, or (iii) a combination of the two. If the value of your account declines from one billing date to another, the fees that you would pay would also decline.
- You may also expect to pay where applicable the following fees to third parties (not Marquette): a) brokerage fees for securities transactions; b) fees charged by ETFs, mutual funds, and any other investment companies in which you invest; and c) fees to third-party advisers if we engage one.



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- Neither our firm nor its employees receive any Advisor Fees, 12b-1 fees, loads, or kickbacks, nor do we benefit in any way from other type of fee-sharing arrangements from the funds or other providers we utilize on our clients' behalf. Our only source of revenue is direct fees from you.

You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce any amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying. For additional information, please see [Item 5 of our Form ADV, Part 2A Brochure](#).

Ask your Marquette Wealth advisor: Help me understand how these fees and costs might affect my investments. If I add \$10,000 to my account to invest, how much will go to fees and costs, and how much will be invested for me?

WHAT ARE YOUR LEGAL OBLIGATIONS TO ME WHEN ACTING AS MY INVESTMENT ADVISOR? HOW ELSE DOES YOUR FIRM MAKE MONEY AND WHAT CONFLICTS OF INTEREST DO YOU HAVE?

When we act as your investment adviser, we have to act in your best interest and not put our interest ahead of yours. At the same time, the way we make money creates some conflicts with your interests. You should understand and ask us about these conflicts because they can affect the investment advice, we provide you. Here are examples to help you understand what this means. A potential conflict exists when we provide financial planning advice. There may be instances where we recommend retaining investments in your account and instead using funds outside of your accounts we manage for purchases.

In addition, custodians and other third parties offer free services to us, including consulting, access to research, and conferences on practice management. This creates a conflict to the extent they incentivize us to recommend that you open or maintain accounts with these custodians or that we select their funds for your account. We have procedures in place to monitor this activity to ensure that your interests come first.

For additional information, please see [Items 10, 11 and 12 of our Form ADV Part 2](#).

Ask your Marquette Wealth advisor: How might your conflicts of interest affect me, and how will you address them?

HOW DO YOUR FINANCIAL PROFESSIONALS MAKE MONEY?

- Our advisors are either owners or employees of Marquette.
- Owner-advisors receive payments in lieu of salary and distributions from firm profits.
- Employee-advisors are paid a salary related to their level of experience and expertise. They receive additional compensation based on a variety of factors, including client referrals and business development, complexity of the relationships they serve, and client retention. Compensation is not based on the type of product sold.

DO YOU OR YOUR FINANCIAL PROFESSIONALS HAVE LEGAL DISCIPLINARY HISTORY?

No. Visit Investor.gov/CRS for a free and simple search tool to research us and our financial professionals.

Ask your Marquette Wealth advisor: Do you have any disciplinary history? For what type of conduct?

ADDITIONAL INFORMATION

For additional information about our investment advisory services or to request a copy of our latest Client Relationship Summary, please visit our website at <http://marquettewm.com/> or call us at 612-661-3770.

Ask your Marquette Wealth advisor: Who is my primary contact person? Is he or she a representative of an investment adviser or a broker-dealer? Who can I talk to if I have concerns about how this person is treating me?