

***Given my financial situation, should I choose an investment advisory service? Why or why not?***

Fairlead Strategies ("Fairlead") provides technical strategy research of the global financial markets to individual (retail) and institutional investors. In general, we employ a disciplined and systematic approach to technical analysis focused on the identification of important trends, and support and resistance levels, for securities and the markets.

Fairlead is not a broker dealer and does not provide brokerage account services. Fairlead provides research consulting services via subscription where clients receive our research on a contracted basis. We provide investment-related educational workshops and seminars. The workshops and seminars are customized to each client's request and can be designed to address specific investment strategies.

Fairlead is also a subadvisor to an investment company registered under the Investment Company Act of 1940. Fairlead will be actively managing Exchange Traded Funds ("ETF"). Fairlead will determine which sector ETF's will be bought and sold. This is an actively managed portfolio.

You will also receive our ADV Part 2 B which describes, among other things, our business, the services we provide, our advisory fees, our personnel, and potential conflicts between our interests and yours.

Investment Advisors are governed by the Investment Advisors Act of 1940 and applicable state securities laws. When acting as your investment advisor, we are considered to have a fiduciary relationship with you.

***How will you choose investments to recommend to me?***

Fairlead does not recommend specific investments to its clients. Fairlead provides research services. When Fairlead acts as a sub-advisor, Fairlead will determine which sector ETF's will be bought and sold. This is an actively managed portfolio.

***What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?***

The experience of our advisors can be found on our website at: <https://www.fairleadstrategies.com/about>. On <https://adviserinfo.sec.gov/> and in [the ADV Part 2b](#).

Katie Stockton, CMT is Founder and Managing Partner of Fairlead Strategies, LLC. Prior to forming Fairlead Strategies, Katie spent more than 20 years on Wall Street providing technical research and advice to institutional investors. Most recently, she served as Chief Technical Strategist for BTIG for four years, and prior to that Chief Market Technician at MKM Partners for nine years. She also worked for technical strategy teams at Morgan Stanley and Wit Soundview. Katie now provides research and consulting services to institutions and individuals as a registered investment advisor. Katie received her Chartered Market Technician (CMT®) designation in 2001, and later served as Vice President of the CMT Association from 2012 to 2016. In 2017, 2019, and 2020 she was honored by The Technical Analyst, a U.K. based publication, for her work. Katie graduated with honors from the University of Richmond with a BSBA, and she now serves on the business school's Executive Advisory Council.

***Help me understand how fees and costs may affect my investments. If I give you \$10,000 to invest, how much will go to fees and costs, and how much will be invested for me?***

Fairlead does not recommend specific investments to its clients. Fairlead provides research services on a subscription basis. The costs of our subscription services can be found in our ADV Part 2A.

***How might your conflicts of interest affect me, and how will you address them?***

We place our clients' interests ahead of our interests and we endeavor, at all times, to eliminate or minimize conflicts of interest. However, sometimes conflicts are unavoidable due to the nature of the investment advisory business. In these cases, we do our best to mitigate these conflicts by offering full and detailed disclosure to you of the potential for the conflict, as well as establishing strict policies and procedures to limit such conflicts. Our [ADV Part 2A](#), Disclosure Brochure is meant to outline and address these conflicts. You may also request a copy of our Disclosure Brochure by contacting our office.

Investment Advice given to clients regarding the ETF in the fund that we manage, will not be given in advance of trades being made by the fund. Disclosures regarding the fund's investments will be given to all clients. Fairlead distributes its research to all clients at the same time to ensure that all clients are treated equitably.

***As a financial professional do you have any disciplinary history? For what type of conduct?***

No

***Who is my primary contact person? Is he 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?***

The primary contacts for Fairlead are Tracy Townshend, COO and Katie Stockton. Fairlead can be reached at: 203.872.6500, [ttownshend@fairleadstrategies.com](mailto:ttownshend@fairleadstrategies.com) or [www.fairleadstrategies.com](http://www.fairleadstrategies.com).