Legal & Regulatory Disclosures

Registration status, affiliations, dispute resolution, and additional legal terms.

Effective September 3, 2026 - Version Date September 3, 2026

Registration Status

Protocol Wealth, LLC is an investment adviser registered with the U.S. Securities and Exchange Commission (CRD #335298). Registration does not imply a certain level of skill or training and does not imply endorsement by the SEC.

Form ADV Part 2A and Form CRS are publicly available through the SEC's Investment Adviser Public Disclosure site. Adviser brochure supplements for individual supervised persons are delivered privately to clients where required; they are not filed with the SEC and are not posted as public PDFs on this page.

Broker-Dealer Affiliation and Conflicts

Certain associated persons of Protocol Wealth, including Jason Leupold and Nick Rygiel, are registered representatives of Finalis Securities LLC, member FINRA/SIPC. Finalis Securities LLC and Protocol Wealth, LLC are separate and unaffiliated entities.

When acting as registered representatives of Finalis, these individuals may effect securities transactions and receive commission-based compensation separate from Protocol Wealth advisory fees. This creates a conflict of interest because it may create a financial incentive to recommend commissionable products or implementation through a broker-dealer channel. Protocol Wealth is a fiduciary and does not require you to implement any recommendation through Finalis or any other particular channel. Additional detail is provided in Form ADV Part 2A and applicable brokerage disclosures.

Website and Communications

Website content, educational materials, diagnostics, calculators, public articles, and general communications are for informational purposes only. They are not personalized investment advice, tax advice, legal advice, an offer to sell securities, a solicitation to buy securities, or a confirmation of any transaction. Advisory services are provided only under a signed advisory agreement.

Dispute Resolution

Protocol Wealth does not require clients to waive rights under the Investment Advisers Act of 1940 or applicable state securities law. No advisory dispute is required to be resolved by arbitration unless both parties enter into a separate written agreement to arbitrate after the dispute arises, or unless the applicable signed agreement states a dispute process that is enforceable under applicable law and does not waive non-waivable rights.

Brokerage disputes involving securities transactions effected through Finalis Securities LLC are separate and may be subject to FINRA arbitration or other brokerage-account terms. Advisory-side and brokerage-side disputes are governed by their respective agreements and forums.

Governing Law

Except where federal law applies, client agreements may be governed by the law stated in the applicable signed agreement, commonly Colorado law. No governing-law provision will be construed to waive or limit rights under the Advisers Act or other non-waivable law.

Assignment

Protocol Wealth will not assign an advisory agreement within the meaning of the Advisers Act without client consent.

Proxy Voting, Corporate Actions, and Legal Proceedings

Unless a signed agreement states otherwise, Protocol Wealth does not vote proxies, exercise digital-asset governance rights, file class-action claims, act in bankruptcies, or pursue other legal proceedings on a client's behalf. Clients retain those rights and responsibilities.

Complaints and Regulatory Contacts

If you have a concern, contact support@protocolwealthllc.com. You may review Protocol Wealth records through the SEC's Investment Adviser Public Disclosure site at adviserinfo.sec.gov by searching CRD #335298. You may also contact the SEC or your state securities regulator.

Protocol Wealth, LLC is a registered investment adviser (CRD #335298). Registration does not imply a certain level of skill or training. Investing involves risk, including possible loss of principal; past performance does not guarantee future results. This is a disclosure, not a contract term. It states Protocol Wealth's current practice, is delivered before the Client Advisory Agreement is signed - section 5 of that Agreement records the delivery - and is superseded by a later edition rather than amended.