

# Alexis Advisors, LLC

## Form ADV Part 2A – Disclosure Brochure

**Effective: 3/20/2025**

This Disclosure Brochure provides information about the qualifications and business practices of Alexis Advisors, LLC, LLC (“Alexis Advisors, LLC” or the “Advisor”). If you have any questions about the contents of this Disclosure Brochure, please contact us at 804.625.3290.

The information in this Disclosure Brochure has not been approved or verified by the U.S. Securities and Exchange Commission (“SEC”) or by any state securities authority. Registration of an investment advisor does not imply any specific level of skill or training. This Disclosure Brochure provides information about Alexis Advisors, LLC to assist you in determining whether to retain the Advisor.

Alexis Advisors, LLC is a Registered Investment Advisor with the State of Virginia and Pennsylvania. Additional information about Alexis Advisors, LLC and its advisory persons are available on the SEC’s website at [www.adviserrinfo.sec.gov](http://www.adviserrinfo.sec.gov).

**Alexis Advisors, LLC**  
CRD No: 167075  
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Richmond, VA 23226  
Phone: (804) 625-3290  
[www.AlexisAdvisors.com](http://www.AlexisAdvisors.com)

## Item 2 – Material Changes

Form ADV 2 is divided into two parts: Part 2A (the "Disclosure Brochure") and Part 2B (the "Brochure Supplement"). The Disclosure Brochure provides information about a variety of topics relating to an Advisor's business practices and conflicts of interest. The Brochure Supplement provides information about advisory personnel of Alexis Advisors, LLC. Alexis Advisors, LLC believes that communication and transparency are the foundation of our relationship and continually strive to provide our Clients with the complete and accurate information at all times. We encourage all current and prospective Clients to read this Disclosure Brochure and discuss any questions they may have.

### Material Changes

This document represents the 2024 annual amendment, submitted 3/20/25. Material corrections include:

- Item 4E – Updated AUM
- Item 7 – Removed 321 Fiduciary services.
- Item 4B, 4C, 5A, 14A, 15 – All related to managing individual investors company retirement plans.

### Future Changes

From time to time, we may amend this Disclosure Brochure to reflect changes in our business practices, changes in regulations and routine annual updates as required by the securities regulators. This complete Disclosure Brochure or a Summary of Material Changes shall be provided to each Client annually and if a material change occurs in the business practices of Alexis Advisors, LLC. At any time, you may view the current Disclosure Brochure on-line at the SEC's Investment Adviser Public Disclosure website at <https://adviserinfo.sec.gov>.

To review the firm information for Alexis Advisors, LLC:

- Click **Investment Advisor Search** in the left navigation menu.
- Select the option for **Investment Advisor Firm** and enter **167075** (our firm's CRD number) in the field labeled "Firm IARD/CRD Number".
- This will provide access to Form ADV Part 1 and Part 2.
- Item 11 of the ADV Part 1 lists legal and disciplinary questions regarding the Advisor.
- In the left navigation menu, Form ADV Part 2 is located near the bottom.

You may also request a copy of this Disclosure Brochure at any time, by contacting us at (804) 625-3290.

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## Item 4 – Advisory Services

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### A. Firm Information

Alexis Advisors, LLC, LLC (“Alexis Advisors, LLC” or the “Advisor”) is a Registered Investment Advisor with the Commonwealth of Virginia. Alexis Advisors, LLC was founded in March, 2013 and is organized as a Limited Liability Company (LLC) under the laws of the Commonwealth of Virginia. The firm offers a variety of advisory services, including Financial Planning and Investment Advisory Services. Alexis Advisors, LLC designs and implements an investment plan aimed at achieving a client’s financial goals and objectives.

Alexis Advisors, LLC is owned and operated by Roberta Keller, founder and Chief Executive Officer. This Disclosure Brochure provides information regarding the qualifications, business practices, and the advisory services provided by Alexis Advisors, LLC.

### B. Advisory Services

The Firm generally provides clients with wealth management services, which may include Financial Planning and Investment Advisory Services.

#### Financial Planning Services

Alexis Advisors, LLC offers Financial Planning Services to individuals and families. Generally, such Financial Planning Services involve rendering a financial consultation for clients based on the Client’s financial goals and objectives. These planning services may encompass one or more areas of need, including, but not limited to investment planning, retirement planning, personal savings, education savings, debt reduction, and other areas of a Clients’ financial situation. A financial plan or a financial consultation usually includes recommendations for a course of action to be taken by the Client. For example, recommendations may be made that the Client start or revise their investment programs, make adjustments to the allocations in their investment accounts, commence or alter retirement savings, establish education savings and/or charitable giving programs. Such plans are typically completed within four months of contract date, assuming all information and documents requested are provided promptly. Additionally, Alexis Advisors, LLC may also refer Clients to an accountant, attorney or other specialists, as appropriate for their unique situation.

Clients may choose to engage the advisor for Financial Planning and/or Investment Advisory Services. The Advisor has the option to charge separately for Financial Planning Services, or include these services in the investment advisory fee, if applicable. The Advisor typically charges for Financial Planning Services if assets managed are less than \$500,000, but this is solely at the discretion of the Advisor. Each service is stand alone, and an Advising Agreement for services rendered is signed at the time of engagement.

Financial Planning recommendations may pose a potential conflict between the interests of the Advisor and the interests of the Client. Clients are not obligated to implement any recommendations made by the Advisor or maintain an ongoing relationship with the Advisor. If the Client elects to act on any of the recommendations made by the Advisor, the Client is under no obligation to affect the transaction through the Advisor.

#### Investment Advisory

Alexis Advisors, LLC specializes in domestic, international equity and fixed income Investment Advisory for individual investors, institutional clients, and its participants (each referred to as a “Client”). We believe in applying an intentional, disciplined, risk-managed and closely monitored investment management approach that is designed to meet to our Clients’ constantly changing investment needs.

Alexis Advisors, LLC provides investment advisory solutions for its Clients through continuous personal contact and interaction, while providing discretionary investment management. Alexis Advisors, LLC works with each Client to understand their financial circumstances, and identify their investment goals, objectives and risk tolerance to guide portfolio allocations. Alexis Advisors, LLC’ investment management approach includes a combination of fundamental analysis, quantitative and technical analysis, as well as a degree of analysis pertaining to the environmental, social and governance (ESG) practices of the Exchange Traded Funds (ETFs), company stocks and occasionally individual bonds in

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which we invest. We strive to offer an objective, disciplined investment approach, with a focus on risk controls and repeatable processes, while being intentional about investment choices.

Alexis Advisors, LLC seeks to distinguish itself in the following areas:

- **Disciplined Processes** We strive to adhere to processes that enable us to focus on each client's financial objectives, with a mutually understood risk tolerance. We seek to apply a disciplined process with respect to client interactions, business processes and investment management.
- **Risk Management** We seek to manage each client account based on specific goals and objectives including meeting financial goals as outlined in our planning process and/or meeting investment goals, liquidity needs, income, tax sensitivity, total return and risk expectations. Our investment approach may include elements of Strategic Asset Allocation, Modern Portfolio Theory, and Tactical Investment Management.
- **Sustainable Responsible Investing** Sustainable Responsible Investing (SRI), also known as sustainable, socially conscious, green, or ethical investing, is an investment strategy that considers both financial return and social impact. The Environmental, Social and Governance (ESG) criteria is the set of standards that socially conscious investors use to screen their investments. ESG criteria assess such things as waste and pollution policies, employment practices, and board engagement practices.

We assess each stock, ETF, and mutual fund used in our portfolios. We utilize Y Charts sustainability rating system for our ETF, mutual fund, and stock analysis. We believe that being intentional about our investment selection is important, recognizing that our top priority is our fiduciary responsibility. Therefore, our portfolios seek to offer a degree of corporate social responsibility, but not to the detriment of supporting clients in meeting their financial goals.

- **Certified B Corp.** Alexis Advisors, LLC became a Certified B Corp in 2016. B Corps are for-profit companies certified by the nonprofit, B Lab, to meet rigorous standards of social and environmental performance, accountability, and transparency. Today, there is a growing community of more than 6500 Certified B Corps from over 89 countries and over 161 industries working together toward 1 unifying goal: to redefine success in business.
- **Education** As a fee-only Registered Investment Advisor, we seek to educate investors on the importance of developing a financial plan, the fundamentals of investment management, the importance of sound risk management, including various approaches to managing market risk.

Alexis Advisors, LLC evaluates and selects investments for inclusion in portfolios only after applying a rigorous due diligence process: for those portfolios that include individual stocks, we perform thorough fundamental analysis on each company ranging from profitability and revenue growth, debt levels, and potential for future growth; when assessing an ETFs/ETNs and mutual funds, we assess expense ratios, turnover and liquidity.

Our portfolio strategies are a combination of fundamental, strategic, tactical decision-making, and sustainability considerations. Some portfolios are designed to hold positions for longer timeframes, while others take a more tactical, active approach. Alexis Advisors, LLC seeks to offer Clients access to broad diversification among asset classes by providing exposure to equities, fixed income, and alternative assets. On a limited basis, the Firm may utilize real estate investment trusts ("REITs"), commodity ETFs, unleveraged inverse ETFs in our portfolios, and in client-specific situations, individual bonds.

Stocks and ETFs are screened through multiple lens' including the ESG lens, but not all investments included in our portfolios are sustainably-focused. The Client may to invest in request specific securities not included in our portfolios. It is at the discretion of the Advisor as to whether we agree to hold these securities.

Where appropriate, the Firm may also provide a perspective about legacy positions or other investments held in client accounts.

#### Investment Management: Held Away Assets

We provide services for accounts not directly held in our custody, but where we have discretion to make investment selection on behalf of the client.

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Held Away Assets includes variable annuity life insurance products and company retirement plans. For annuity products, we leverage the integration with Axos' Order Management System to implement asset location and rebalancing strategies on behalf of the client.

For retirement accounts (401(k), 403(b), TSP, etc.), we leverage an Order Management System (Pontera) to implement asset location and rebalancing strategies on behalf of the client. At no time does the Advisor take custody of retirement plan assets.

In these situations, the Firm directs the allocation of client assets among the various investment options available on a discretionary basis. These assets are generally maintained at the underwriting insurance company or the company's custodian designated by the products providers.

#### IRA Rollover Recommendations

Effective December 20, 2021 (or such later date as the US Department of Labor ("DOL") Field Assistance Bulletin 2018-02 ceases to be in effect), for purposes of complying with the DOL's Prohibited Transaction Exemption 2020-02 ("PTE 2020-02") where applicable, we are providing the following acknowledgment to you.

When Alexis Advisors, LLC provides Financial Planning Services, investment management services and/or investment advice to Clients regarding retirement plan account(s), Alexis Advisors, LLC is operating in a fiduciary capacity within the meaning of Title I of the Employee Retirement Income Security Act and/or the Internal Revenue Code, as applicable. These are the laws established to govern retirement accounts. Alexis Advisors, LLC generates some of its revenue through managing client assets, which creates some conflicts of interest. The firm operates under a rule that requires the firm to act in the Client's best interest and not put Alexis Advisors, LLC's interests ahead of Client interests. Under this specific rule's provisions, the firm must:

- Meet a professional standard of care when making investment recommendations (give prudent advice);
- Never put the firm's financial interests ahead of the Client's when making recommendations (give loyal advice);
- Avoid misleading statements about conflicts of interest, fees, and investments;
- Follow policies and procedures designed to ensure that the firm gives advice that is in the Client's best interest;
- Charge no more than is reasonable for services; and
- Provide the Client basic information about conflicts of interest.

Alexis Advisors, LLC benefits financially from the rollover of Client assets from a retirement account to an account that is under the management of the firm given that these assets increase the firm's assets under management and, in turn, the firm's advisory fees. As a fiduciary, Alexis Advisors, LLC only recommends a rollover when the firm believes it is in the Client's best interest.

#### Clarifying Investment Objectives

Prior to rendering investment advisory services, Alexis Advisors, LLC will ascertain, in conjunction with the Client, the Client's financial situation, risk tolerance, and investment objective[s].

Allocations to the various model portfolios are designed to meet the goals, objectives, and circumstances agreed to by the Client. Allocations are based on an individual's risk tolerance, income needs, tax sensitivities, and social impact goals, if applicable. Each Client has the opportunity to place reasonable restrictions on the types of investments to be held in their respective portfolio, subject to acceptance by the Advisor. Additionally, while ultimately at the Client's discretion, Alexis Advisors, LLC seeks to review client portfolio allocations at minimum on an annual basis to assess potential changing circumstances.

Alexis Advisors, LLC provides investment advisory services and Investment Advisory services and does not provide securities custodial or other administrative services. At no time will Alexis Advisors, LLC accept or maintain custody of a Client's funds or securities. All Client assets are managed within their designated brokerage account or pension account, pursuant to the Client Investment Advisory Agreement.

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### Workshops & Education Sessions

Alexis Advisors, LLC offers employee education sessions, workshops and one-on-one employee advising services. Fees are paid by the sponsor/company.

### **C. Client Account Management**

Prior to engaging Alexis Advisors, LLC to provide investment advisory services, each Client is required to enter into an Investment Advisory Agreement with the Advisor that defines the terms, conditions, authority and responsibilities of the Advisor and the Client. These services may include:

- **Establishing an Investment Policy Statement (IPS)** Alexis Advisors, LLC, in conjunction with the Client, will assess a client's suitability and risk tolerance based on review of allocations and discussion regarding goals and uses of funds. An IPS will be created based on this review which includes risk versus reward analysis and documentation of the client's stated goals. The IPS will include specific information on Alexis Advisors, LLC Advisor's investment strategies, Client risk tolerance and any restrictions imposed by the Client.
- **Portfolio Allocation & Implementation**

Allocations are designed to meet the stated goals of the client, and the varying client objectives including but not limited to capital appreciation, capital preservation, income generation, tax mitigation.

  - **Allocation to Alexis Advisors, LLC Advisor's Portfolios** - Alexis Advisors, LLC will develop allocations to Alexis Advisors, LLC' proprietary portfolios. Alexis Advisors, LLC is responsible for making all investment selection and implementation decisions.
  - **Held Away Assets** - If the client engages us to manage variable annuity assets and/or company retirement plan assets, Alexis Advisors, LLC will assess investment options available and develop allocations based on the client's risk tolerance. Alexis Advisors, LLC is responsible for making investment selection and implementation decisions through an order management system.
- **Investment Management and Supervision** Alexis Advisors, LLC will provide investment management and ongoing oversight of the Client's portfolio(s) by implementing a combination of strategic and tactical investment decision-making, with allocations to an individual portfolio or to a group of model portfolios.

### **D. Wrap Fee Programs**

Alexis Advisors, LLC does not manage or place Client assets into a wrap fee program. Investment management services are provided directly by Alexis Advisors, LLC.

### **E. Assets under Management**

As of 12/31/24 Alexis Advisors, LLC had 100 investment advisory clients, 236 accounts, and approximately \$57,932,253 in regulatory assets under management. All assets are managed on a discretionary basis. The 236 accounts include: 2 charitable organizations; 13 high-net worth; 4 annuity accounts; and 3 company retirement (Held Away) accounts. Updated information may be requested at any time by contacting Alexis Advisors, LLC.

## **Item 5 – Fees and Compensation**

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Each Client must sign an Agreement stipulating services that Alexis Advisors, LLC will render. This can include Investment Advisory Services (at the Client's custodian and/or for Held Away Assets) and/or Financial Planning Services. This agreement details the responsibilities of Alexis Advisors, LLC and the Client. The following paragraphs detail the fee structure and compensation methodology for services rendered.

Alexis Advisors, LLC is compensated for its Financial Planning Services at an hourly rate and for its investment advisory services by charging a fee based on the net market value of a Client's Account. Alexis Advisors, LLC reserves the right, in its sole discretion, to negotiate, or reduce the advisory fee for certain Client Accounts for any period of time determined by the

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Advisor. In addition, Alexis Advisors, LLC may reduce or waive its fees for the Accounts of some Clients without notice to, or fee adjustment for, other Clients.

#### **A. Services**

Alexis Advisors, LLC is a “fee only” investment advisor, and other than its advisory fee described above, neither the firm nor its employees receive or accept any direct or indirect compensation related to investments that are purchased or sold for Client accounts. This means that Clients will not be sold products or services that create additional fees or compensation to benefit Alexis Advisors, LLC or its employees or its affiliates other than those described in this Brochure.

##### Financial Planning Services

Financial Planning Services includes cash flow/debt management, cash flow analysis, retirement planning (including review of, and recommendations concerning your current and/or former employers’ retirement plan(s)), insurance review, investment analysis and recommendations, and other aspects related to the planning process.

Financial Planning Services may be included with investment advisory services assuming a minimum investment of \$500,000, based on the terms of the Advisory Agreement. Otherwise, Financial Planning Services may be offered independently of investment advisory services at the rates listed in section below (5/B).

If Alexis Advisors, LLC is offering investment recommendations as part of the planning process for a Client’s company retirement account that is maintained at their designated employer’s selected custodian and/or other assets not under our management, fees for these services are offered at our Financial Planning rates listed below (5/B). In these circumstances, the Client is solely responsible for executing any recommendations and monitoring those positions.

##### Investment Advisory Services

Alexis Advisors, LLC offer Investment Advisory Services to individuals and institutional investors.

In accounts managed by the Client’s Custodian of choice, Investment Advisory Fees are primarily paid quarterly in arrears pursuant to the terms of the Advisory Agreement. Investment Advisory Fees are based on the average daily balance of the market value of assets under management over the preceding quarter. Fees are invoiced quarterly in arrears based on the rate outlined in the Advisory Agreement. If a Client starts the engagement as a Financial Planning client and chooses to engage Alexis Advisors, LLC for Investment Advisory services for assets in excess of \$500,000 within the 30 day invoice window and has initiated the account setup process, then the Advisor may waive the Financial Planning “balance owed” amount. Terms for are set forth in the firm’s Advisory Agreement.

At no time will Alexis Advisors, LLC accept or maintain custody of a Client’s funds or securities. All Client assets are managed within their designated brokerage account, pursuant to the Client Agreement. Investment Advisory services may be offered at the rate listed in section below (5/B).

##### Investment Advisory Services: Held Away Assets

Alexis Advisors, LLC provides services for accounts not directly held in our custody, but where we have discretion to make investment selection on behalf of the client. This includes Variable Annuities and company retirement plan assets. For these accounts, we review investment options available and implement asset location and rebalancing strategies on behalf of the client.

Investment Advisory Services are paid quarterly in arrears pursuant to the terms of the Advisory Agreement. Investment Advisory Fees for accounts are based on the average daily balance or end of quarter market value of assets under management over the preceding quarter. Fees are invoiced quarterly in arrears. (5/B).

##### Workshops & Education Sessions

Alexis Advisors, LLC occasionally provides educational presentations, workshops or programs to company employees and/or the community at large.

#### **B. Fee Billing**

Alexis Advisors, LLC offers several fee options and approaches for its Investment Advisory Services, based on the type of account being managed and/or the circumstances of the Client, with the option to charge a minimum annual fee of \$250.

##### Financial Planning Services

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The Advisor has the option to charge separately for Financial Planning Services, or include these services in the investment advisory fee, if applicable. If Financial Planning Services are not included, then said services are offered on an hourly basis at a rate of \$150 - 250 per hour, or at the discretion of the advisor. Rates are based on skills required, including but not limited to para-planning and Financial Planning Services. Rates may be negotiable depending on the nature and complexity of each Client's circumstances and based on the Client's ability to pay. If a fee is charged, an estimate for total hours will be determined prior to establishing the advisory relationship and communicated verbally or in writing. All terms, including fee information, invoicing procedures, are set forth in the Advising Agreement.

If Alexis Advisors, LLC is offering investment recommendations as part of the planning process, fees for these services are offered at our Financial Planning rates listed below.

The Client may engage the Advisor to review investment options and make recommendations for Client's company retirement account that is maintained at their designated employer's selected custodian and/or other assets not under our management. These services fall under our Financial Planning Services or they may fall inside or outside the scope of existing services and be a standalone request. The Client is required to sign our Advisory Agreement, with fees charged at our Financial Planning rates and invoiced after recommendations are delivered. Alexis Advisors, LLC is not responsible for execution or implementation of these recommendations. All terms, including fee information, invoicing procedures, are set forth in the Advisory Agreement.

#### Investment Advisory Services

Investment advisory fees are negotiable, and at the discretion of the Advisor. Alexis Advisors, LLC may offer a tiered fee structure or flat fee and may choose to apply the fee on a per account basis or group a number of accounts under a fee structure. Our most used schedule is outlined below. We may offer other fee structures to fit the client's circumstances, and at the discretion of the Advisor.

Asset Level	Level for Brokerage Account
\$0 - \$500,000	1.00%
\$500,001 - \$1,000,000	0.95%
\$1,000,001 - \$3,000,000	0.90%
\$3,000,001 - \$5,000,000	0.85%
Above \$5,000,001	0.25%

For individual/family and institutional clients, fees generated by the Client's Custodian of choice, investment advisory fees are automatically deducted from the Client Account by the Custodian. The amount due is calculated by applying the annual rate, divided by four (4), times the average daily balance of the account during the preceding quarter. If a client has multiple accounts at a single Custodian, the Advisor has the option to apply the fee across multiple accounts. Clients will be provided with a statement, at least quarterly, from the Custodian reflecting deduction of the investment advisory fee, as well as the methodology used to calculate the fee. The advisor also provides the Client with a separate report itemizing the advisory fees paid in the prior quarter, the calculation period covered, and the account value and methodology used to calculate the fee. Clients have the option to pay investment advisory fees directly by check or to have fees deducted quarterly from their managed accounts.

It is the responsibility of the Client to verify the accuracy of these fees as listed on the Custodian's brokerage statement as the Custodian does not assume this responsibility. Clients provide written authorization permitting Alexis Advisors, LLC to be paid directly from their accounts held by the Custodian as part of the Investment Advisory Agreement and separate account forms provided by the Custodian. All terms, including fee information, invoicing procedures, are set forth in the Investment Advisory Agreement.

#### Investment Advisory: Held Away Assets

Fees for managing Held Away assets typically range between 0.50% - 1.0%. For Held Away Assets, the Investment Advisory fee is calculated by assessing an annual rate on all Held Away Assets as set forth in the Advisory Agreement. The amount due is calculated by applying the annual rate, divided by four (4), multiplied by the quarter-end value or the average daily balance

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of the account during the preceding quarter Alexis Advisors, LLC provides the Client with a separate report itemizing advisory fees billed in the prior quarter, the calculation period covered, and the methodology used to calculate the fee. Performance statements for Held Away Assets are available at the company's Custodian.

If Alexis Advisors, LLC manages annuity Held Away Assets, then the Client may pay these fees by check, bank draft, deducted from another account managed by Alexis Advisors, LLC, or a combination thereof. Payment by credit card is at the discretion of Alexis Advisors, LLC.

#### Workshops & Education Sessions

Alexis Advisors, LLC may charge \$150 - \$350 per hour for educational presentations, workshops or programs. Payment is invoiced following the session and is payable within thirty (30) calendar days of receipt of the invoice.

#### **C. Other Fees and Expenses**

In addition to advisory fees, Clients may also pay other fees or expenses imposed by third parties, other than Alexis Advisors, LLC, in connection with investments made on behalf of the Client's account(s). The Client is responsible for all custodial and securities execution fees charged by the Custodian and executing broker-dealer. The investment advisory fee charged by Alexis Advisors, LLC is separate and distinct from these Custodian and execution fees. The issuer of some of the securities or products Alexis Advisors, LLC purchases for Clients, such as ETFs/ETNs, CEFs or other similar financial products, may charge product fees that affect Clients. Alexis Advisors, LLC does not charge these fees to Clients and does not benefit directly or indirectly from any such fees. Rather, an ETF typically includes embedded expenses that may reduce the fund's net asset value, and therefore directly affect the fund's performance and indirectly affect a Client's portfolio performance or an index benchmark comparison. Expenses of an ETF, or similar products, may include management fees, Custodian fees, brokerage commissions, and legal and accounting fees. These fees and expenses are described in each fund's prospectus. A Client could invest in these products directly, without the services of Alexis Advisors, LLC, but would not receive the services provided by Alexis Advisors, LLC which are designed, among other things, to assist the Client in determining which products or services are most appropriate to each Client's financial situation and objectives. Accordingly, the Client should review both the fees charged by the fund(s) and the fees charged by Alexis Advisors, LLC to fully understand the total fees to be paid.

#### **D. Payment of Fees and Termination**

##### Investment Advisory Services Including Held Away Assets

The Client may terminate the agreement within five (5) business days of signing the Advisor's Agreement for Investment Advisory Services at no cost and without penalty to the Client. After the five (5) business day period, the Client will incur charges for advisory services rendered to the point of termination.

Clients may request to terminate the Agreement for Investment Advisory Services, including Held Away Assets in whole or in part, by providing advance written notice.

The Client shall be responsible for Investment Advisory Fees up to and including the effective date of termination. Accounts initiated or terminated during a calendar quarter will be charged a prorated fee. On the termination date of an account, any prepaid, unearned fees will be promptly refunded and earned and unpaid fees will be due and payable. The Client's Investment Advisory Agreement with the Advisor is non-transferable without Client's written approval.

##### Financial Planning

In the event that a Client wishes to cancel the Financial Planning agreement, the Client shall be billed for actual hours logged at the agreed upon hourly rate. Client has the right to terminate the contract without penalty within five (5) business days after entering into the contract. The Client may terminate the agreement within five (5) business days of signing the agreement at no cost to the Client. After the five (5) business day period, the Client will incur charges for bona fide advisory services rendered to the point of termination and such fees will be due and payable by the Client within 30 days from the date of termination.

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Either party may terminate a planning agreement at any time by providing advance written notice to the other party. Any surplus in the Advisor's possession as the result of collecting a deposit at the time of signing the Financial Planning agreement will be returned to the Client within five (5) business days of cancellation. Refunds will be given on a pro-rata basis.

#### Workshops & Education Sessions

Payment is invoiced following the session and is payable within thirty (30) calendar days of receipt of the invoice. Client has the right to terminate the contract without penalty within five (5) business days after entering into the contract. The Client may terminate the agreement within five (5) business days of signing the agreement at no cost to the Client. After the five (5) business day period, the Client will incur charges for bona fide educational services rendered.

#### **E. Compensation for Sales of Securities**

Alexis Advisors, LLC does not buy or sell securities and does not receive any compensation for securities transactions in any Client account, other than the Investment Advisory Fees noted above.

### **Item 6 – Performance-Based Fees and Side-By-Side Management**

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Alexis Advisors, LLC does not charge performance-based fees for its investment advisory services. The fees charged by Alexis Advisors, LLC are as described in Item 5. Fees and compensation above and are not based upon the capital appreciation of the funds or securities held by any Client.

Alexis Advisors, LLC does not manage any proprietary investment funds or limited partnerships (for example, a mutual fund or a hedge fund) and has no financial incentive to recommend any particular investment options to its Clients.

### **Item 7 – Types of Clients**

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Alexis Advisors, LLC provides investment advisory services to the following types of Clients:

Individuals & Families Private investors, investing their personal assets.

Institutional Mission-based, non-profit organizations or other institutional.

Alexis Advisors, LLC may impose a minimum account size for establishing a relationship, but our typical starting account is between \$250,000 to \$500,000 or more for individuals and families. The decision to engage a Client at lower asset levels is at the discretion of the Advisor.

### **Item 8 – Methods of Analysis, Investment Strategies and Risk of Loss**

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#### **A. Methods of Analysis**

Alexis Advisors, LLC allocates clients to its proprietary portfolios, and on occasion to portfolios where the investment selection is managed by a Independent Manager. Investment strategies employ a combination of long-term passive investing and shorter-term, active investing for its Clients, as consistent with their financial goals.

Alexis Advisors, LLC Proprietary Portfolios - Alexis Advisors, LLC employs a combination of fundamental and technical analysis methodologies when developing investment strategies for its Clients. Research and analysis from Alexis Advisors, LLC is derived from numerous sources, including third party research services, third party research materials, quantitative analytics, financial media companies, Internet sources, and review of company activities, including annual reports, prospectuses, press releases and research prepared by others.

#### **B. Risk of Loss**

Investing in securities involves certain investment risks. Securities may fluctuate in value or lose value. Clients should be prepared to bear the potential risk of loss. Alexis Advisors, LLC will assist Clients in determining an appropriate strategy

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based on their tolerance for risk and other factors noted above. However, there is no guarantee that a Client will meet their investment goals. Types of risk may include:

**Equity Risks** Losing a portion or all your investment is the risk of investing in equity securities. The following risks could affect the value of your investment: market risk (risk of loss of principal), company risk (risk specific to the services or products offered by the company), issuer risk (in the case of equity ETFs/ETNs, individual stocks), and liquidity risk (the risk stemming from the lack of marketability of an investment.)

**Fixed Income Risks** Losing a portion or all your investment is the risk of investing in fixed income securities. The following principal risks could affect the value of your investment: credit risk (risk of a bond or group of bonds being downgraded in their credit quality), interest rate risk (risk of loss of principal in a rising interest rate environment), issuer default risk (the issuer of the bond defaulting on the repayment of interest or principal), pre-payment risk (the risk associated with the early unscheduled return of principal on a fixed-income security), liquidity risk, market risk, and purchasing power or inflation risk (the uncertainty over the future real value (after inflation) of your investment.)

**Alternative Asset Class Risks** Alternative asset classes include such things as REITs, Master Limited Partnerships, inverse ETFs, gold and other precious metals. We may invest in REITs and alternative asset classes, such as gold. Losing a portion or all of your investment is a risk of investing in alternative asset class securities. The following principal risks may affect the value of your investment: market risk, interest rate risk, issuer risk, and liquidity risk.

Assets are deemed suitable if they meet certain criteria including, but not limited to, relative value and/or attractive trend attributes. While this type of analysis helps the Advisor in evaluating a potential investment, it does not guarantee that the investment will increase in value. Assets meeting the investment criteria utilized by Alexis Advisors, LLC may lose value and may have negative investment performance. The Advisor monitors these indicators to determine if adjustments to allocations are appropriate. More details on the Advisor's review process are included in Item 13.

Each Client engagement will entail a review of the Client's investment goals, financial situation, time horizon, tolerance for risk and other factors to develop an appropriate strategy for managing a Client's account. Client participation in this process, including full and accurate disclosure of requested information, is essential for the analysis of a Client's account. The Advisor shall rely on the financial and other information provided by the Client or their designees without the duty or obligation to validate the accuracy and completeness of the provided information. It is the responsibility of the Client to inform the Advisor of any changes in financial condition, goals or other factors that may affect this analysis.

The risks associated with a particular strategy are provided to each Client in advance of investing Client accounts. The Advisor will work with each Client to determine their tolerance for risk as part of the portfolio construction process.

#### Frequent Trading

Alexis Advisors, LLC typically holds core positions in a majority of its portfolios for a period of years. Non-core positions are typically held for months or years. There are no costs associated with trading, so frequent trading in securities does not result in higher transaction costs in the Client's account[s]. For taxable accounts, frequent trading can also result in taxable transactions each year that would not be present in a buy-and-hold strategy. There are no guarantees that a frequent trading strategy will correctly time purchases and sales of any particular security. Independent Managers apply a long-only, mostly passive investment approach, with the exception of rebalancing, with a goal of holding securities for a period of years.

**Past performance is not a guarantee of future returns. Investing in securities and other investments involve a risk of loss that each Client should understand and be willing to bear. Clients are reminded to discuss these risks with the Advisor. For more information on our investment management services, please contact us at (804) 625-3290.**

#### Item 9 – Disciplinary Information

**There are no legal, regulatory or disciplinary events involving Alexis Advisors, LLC or any of its employees.** Alexis Advisors, LLC and its advisory personnel value the trust you place in us. As we advise all Clients, we encourage you to perform the requisite due diligence on any advisor or service provider in which you partner. Our backgrounds are on the

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Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). To review the firm information contained in ADV Part 1, select the option for Investment Adviser Firm and enter **167075** in the field labeled "Firm IARD/CRD Number". This will provide access to Form ADV Parts 1 and 2. Item 11 of the ADV Part 1 lists legal and disciplinary questions. You may also research the background of Roberta Keller by selecting the Investment Adviser Representative and entering Ms. Keller's Individual CRD# **2356321** in the field labeled "Individual CRD Number".

## **Item 10 – Other Financial Industry Activities and Affiliations**

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The sole business of Alexis Advisors, LLC is to provide investment advisory services to its Clients. Neither Alexis Advisors, LLC nor its advisory personnel are involved in other business endeavors. Alexis Advisors, LLC does not maintain any affiliations with other firms, other than contracted service providers to assist with the servicing of its Client's accounts.

## **Item 11 – Code of Ethics, Participation or Interest in Client Transactions and Personal Trading**

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### **A. Code of Ethics**

Alexis Advisors, LLC has implemented a Code of Ethics (COE) that defines our fiduciary commitment to each Client. This Code of Ethics applies to all persons associated with Alexis Advisors, LLC. The Code of Ethics was developed to provide general ethical guidelines and specific instructions regarding our duties to you, our Client. Alexis Advisors, LLC and its personnel owe a duty of loyalty, fairness and good faith towards each Client. It is the obligation of Alexis Advisors, LLC associates to adhere not only to the specific provisions of the Code, but also to the general principles that guide the Code. The Code of Ethics covers a range of topics that may include: standards of business conduct, general ethical principles, reporting personal securities trading, reportable securities, initial public offerings and private placements, reporting ethical violations, distribution of the Code of Ethics, review and enforcement processes, amendments to Form ADV and supervisory procedures. Alexis Advisors, LLC has written its Code of Ethics to meet and exceed regulatory standards.

Alexis Advisors, LLC provides each employee with a copy of our Code of Ethics, and any amendments, and obtains a written acknowledgment from each supervised person of his receipt of a copy of the COE. All employees of Alexis Advisors, LLC are required to promptly report any violations of the code to the Adviser's CCO or other designated person.

### **B. Personal Trading Policy**

Our policy is based on the principle that its directors, officers and employees owe a fiduciary duty to clients to conduct personal securities transactions in a manner that does not interfere with client transactions or otherwise take unfair advantage of their relationship with clients. Alexis Advisors, LLC does not act as principal in any transactions. In addition, the Advisor does not act as the general partner of a fund, or advice an investment company. Alexis Advisors, LLC does not have a material interest in any securities traded in Client accounts.

Alexis Advisors, LLC allows our employees to purchase or sell the same securities that may be recommended to and purchased on behalf of Clients. Owning the same securities, we recommend (purchase or sell) to our Clients presents a potential conflict of interest that, as fiduciaries, we must disclose to you and mitigate through policies and procedures. As noted above, we have adopted, consistent with Section 204A of the Investment Advisers Act of 1940, a Code of Ethics, which addresses insider trading (material non-public information controls) and personal securities reporting procedures. We have also adopted written policies and procedures to detect the misuse of material, non-public information, including avoiding investing in such a way to use insider information. We may have an interest or position in certain securities, which may also be recommended to you. In some circumstances, employees may be permitted to invest in the same securities as Clients, there is a possibility that employees might benefit from market activity by a client in a security held by an employee. Additionally, employees may, on occasion, make securities transactions that are contrary to the investment positions held in client portfolios. In managed accounts within an omnibus account, all clients (including firm employees) are traded at the same time. Alexis Advisors, LLC avoids "front-running," the practice of investing for the firm or for a personal account ahead of Client accounts.

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Employee trading is monitored under the COE in order to reasonably identify and prevent conflicts of interest between us and our Clients. All “access persons,” are required to provide a report at least quarterly of all personal securities transactions in reportable securities to the adviser’s CCO or other designated person

### **C. Other Elements of Our Code of Ethics**

In addition, the Code of Ethics governs Gifts and Entertainment given by and provided to the Advisor, outside employment activities of employees, privacy and confidentiality of non-public client information, sanctions for violations of the COE, and records retention requirements for various aspects of the Code of Ethics.

To request a copy of our Code of Ethics and/or Privacy Policy, please contact us at (804) 625-3290.

**At no time, will Alexis Advisors, LLC or any associated person of Alexis Advisors, LLC, transact in any security to the detriment of any Client.**

## **Item 12 – Brokerage Practices**

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### **A. Recommendation of Custodian(s)**

Alexis Advisors, LLC does not have discretionary authority to select the broker-dealer/Custodian for custodial and execution services or the administrator for defined contribution accounts. The Client has the option to select the broker-dealer or Custodian (herein the "Custodian") to safeguard Client assets and authorize Alexis Advisors, LLC to direct trades to this Custodian as agreed in the Investment Advisory Agreement. Further, Alexis Advisors, LLC does not have the discretionary authority to negotiate commissions on behalf of our Clients on a trade-by-trade basis.

Axos Advisor Services serves as the Custodian for the majority of Alexis Advisors Client accounts, with Axos providing execution services. (Axos acquired E-Trade in 2021.) Recommendations may be based on criteria such as, but not limited to, reasonableness of commissions charged to the Client, services made available to the Client, and location of the Custodian’s office. We will perform periodic due diligence on best execution practices to make certain that charges Axos Advisor Services are reasonable and customary.

Alexis Advisors, LLC uses Nationwide Insurance (formerly Jefferson National Financial) for Clients who are currently in high-cost annuities and may benefit from a lower cost structure and tax deferral. Nationwide Insurance offers Clients a no-load, flat fee, investment only variable annuity built expressly for fee-only Registered Investment Advisors. They also provide insurance-only products, such as Single Premium Immediate Annuities. Recommendations may be based on criteria, such as, but not limited to, reasonableness of commissions/fees charged to Clients, investment options, and services made available to the Client. We will perform periodic due diligence on best execution practices to make sure charges are reasonable and customary. While Alexis Advisors, LLC will manage client assets on a discretionary basis and charge a fee for these services, the firm will receive no commissions or financial benefit for moving a client to Nationwide Insurance.

Following are additional details regarding the brokerage practices of the Advisor:

**Soft Dollars** Soft dollars are revenue programs offered by broker-dealers whereby an advisor enters into an agreement to place security trades with the broker in exchange for research and other services. Alexis Advisors, LLC does not participate in soft dollar programs sponsored or offered by any broker-dealer.

**Brokerage Referrals** Alexis Advisors, LLC does not receive any compensation from any third party in connection with the recommendation for establishing a brokerage account.

**Directed Brokerage** All Clients are serviced on a “directed brokerage basis”, where Alexis Advisors, LLC will place trades within the established account(s) at the designated Custodian. In selecting the Custodian, Alexis Advisors, LLC will not be obligated to select competitive bids on securities transactions and does not have an obligation to seek the lowest available transaction costs. These costs are determined by the designated Custodian. Further, all Client accounts are traded within their respective brokerage account(s). The Advisor will not engage in any principal transactions (i.e., trade of any security

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from or to the Advisor's own account) or cross transactions with other Client accounts (i.e., purchase of a security into one Client account from another Client's account(s)).

Independent Managers Alexis Advisors, LLC does not receive incentives for placing business with Independent Managers.

#### **B. Aggregating and Allocating Trades**

The primary objective in placing orders for the purchase and sale of securities for Client accounts is to obtain the most favorable net results taking into account such factors as 1) price, 2) size of order, 3) difficulty of execution, 4) confidentiality and 5) skill required of the broker. Alexis Advisors, LLC will execute its transactions through an unaffiliated broker-dealer selected by the Client. Alexis Advisors, LLC may aggregate orders in a block trade or trades when securities are purchased or sold through the same broker-dealer for multiple (discretionary) accounts.

Alexis Advisors, LLC does not research or implement the trading strategies of Independent Managers. However, the Firm does have the option to sell positions at its discretion, specifically to meet Client disbursement requests. Alexis Advisors, LLC also has the ability to invest new funds into the portfolios and strategies when a Client deposits additional funds into the account.

### **Item 13 – Review of Accounts**

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#### **A. Frequency of Reviews**

Client accounts are monitored on a regular and continuous basis. In addition to the investment monitoring, each Client account shall generally be reviewed at least annually, or more or less frequently depending on Client needs. Client webinars are also offered, particularly during periods of major changes in economic conditions and associated market volatility.

#### **B. Causes for Reviews**

Accounts may be reviewed as a result of major changes in economic conditions, known changes in the Client's financial situation, and/or large deposits or withdrawals in the Client's account. The Client is encouraged to notify Alexis Advisors, LLC if changes occur in his/her personal financial situation that might affect his/her investment plan. Additional reviews may be triggered by material market, economic or political events.

#### **C. Review Reports**

The Client will receive brokerage statements no less than quarterly from the Custodian. These brokerage statements are sent directly from the Custodian to the Client. The Client may also establish electronic access to the Custodian's website so that the Client may view these reports and their account activity. Axos Advisor Services and company retirement plan sponsors supply Clients with confirmation statements for all orders executed (transaction confirmations), periodic statements (either monthly or quarterly) and other material supplied to their shareholders as required. Axos Advisor Services statements include all positions, transactions and fees relating to the Client's account(s).

The Advisor has engaged Advyzon to provide Clients with more robust reporting. All data displayed in the Advyzon reports are transferred via a secure API from the Custodians. Statements and reporting are still available through the Custodians.

### **Item 14 - Client Referrals and Other Compensation**

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#### **A. Compensation Received by Alexis Advisors, LLC**

Alexis Advisors, LLC is a fee-only advisory firm, who, in all circumstances, is compensated solely by the Client. Alexis Advisors, LLC does not receive commissions or other compensation from product sponsors, broker-dealers or any un-related third party. Alexis Advisors, LLC may refer Clients to various third parties to provide certain financial services necessary to meet the goals of its Clients. Likewise, Alexis Advisors, LLC may receive referrals of new Clients from a third-party.

#### Participation in Institutional Advisor Platforms

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Alexis Advisors, LLC has established an institutional relationship with Axos Services to assist the Advisor in managing Client account(s). Access to the Axos Advisor Service's institutional platform is provided at no charge to the Advisor. The Advisor receives access to software and related support without cost because the Advisor renders investment management services to Clients that maintain assets at Axos Advisor Services.

Additionally, the Advisor may receive the following benefits from Axos Advisor Services: receipt of duplicate Client confirmations and bundled duplicate statements; access to a trading desk that exclusively services its institutional participants; omnibus account trading; access to block trading which provides the ability to aggregate securities transactions and then allocate the appropriate shares to Client accounts; and access to an electronic communication network for Client order entry and account information.

Alexis Advisors, LLC has also established an institutional relationship with Nationwide Insurance. We have not to date found reason to sell Clients annuity products but have observed opportunities for Clients holding existing products to lower their fees, while providing investment management within these products. Before decisions are taken, we, along with Nationwide, provide the Client with an analysis and product comparison. If deemed viable, we may implement a 1035 exchange for these assets.

The Advisor receives no commissions from Nationwide for this exchange. An exchange is only implemented if it is deemed in the best interest of the client, including, but not limited to a potential reduction in the insurance fees, and access to our investment management services within the annuity. Access to Nationwide's variable annuity platform, Monument Advisor, via the Axos Advisor Services trading platform is provided at no charge to the Advisor or to the client. All annuity assets are maintained at Nationwide, and Nationwide provides reporting to the client.

The Advisor receives access to software and related support without cost because the Advisor renders investment management services to Clients that maintain assets at Nationwide and Axos Advisor Services. The software and related systems support may benefit the Advisor, but not its Clients directly. In fulfilling its duties to its Clients, the Advisor endeavors at all times to put the interests of its Clients first. Clients should be aware, however, that the receipt of economic benefits from a Custodian creates a potential conflict of interest since these benefits may influence the Advisor's recommendation of this Custodian over one that does not furnish similar software, systems support, or services.

Alexis has also established an institutional relationship with Pontera, a platform for managing company retirement plans and health savings accounts. Before decisions are taken, we provide the Client with the appropriate analysis.

Alexis receives no commissions from Pontera to access their platform. An exchange is only implemented if it is deemed in the best interest of the client, including, but not limit to access to our investment management services. Alexis Advisors pays the Pontera platform fee; access to Pontera's platform is provided at no additional charge to the client. All Held Away Assets are maintained at the company custodian, and the company custodian provides reporting to the client.

#### **B. Client Referrals from Solicitors**

Alexis Advisors, LLC does not engage paid solicitors for Client referrals.

#### **Item 15 – Custody**

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Alexis Advisors, LLC does not accept or maintain custody of any Client accounts. All Clients must place their assets with a qualified Custodian. Clients are required to select their own Custodian to retain their funds and securities and direct Alexis Advisors, LLC to utilize that Custodian for the Client's security transactions. Client funds currently are held directly at Axos Advisor Services, Nationwide, and/or company retirement plan sponsors, depending on the type of account managed.

Prior to having fees deducted via a qualified custodian, Alexis Advisors LLC will:

- Possess written authorization from the client to deduct advisory fees from an account held by a qualified custodian.

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- Confirm with the qualified custodian via written notice of the amount of the fee to be deducted from the client's account.
- Send the client an itemized invoice including any formulae used to calculate the fee, the time period covered by the fee, and the amount of assets under management on which the fee was based.

Alexis Advisors, LLC encourages Clients to carefully review statements provided by the account Custodian. For more information about Custodians and brokerage practices, see Item 12 - Brokerage Practices.

### **Item 16 – Investment Discretion**

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Alexis Advisors, LLC generally has discretion over the selection and amount of securities to be bought or sold in Client accounts without obtaining prior consent or approval from the Client. However, these purchases or sales may be subject to specified investment objectives, guidelines, or limitations previously set forth by the Client and agreed to by Alexis Advisors, LLC. Discretionary authority will only be authorized upon full disclosure to the Client. The granting of such authority will be evidenced by the Client's execution of an Investment Advisory Agreement containing all applicable limitations to such authority. All discretionary trades made by Alexis Advisors, LLC seek to be in accordance with each Client's investment objectives and goals.

### **Item 17 – Voting Client Securities**

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Alexis Advisors, LLC does not accept proxy-voting responsibility for any Client. Clients will receive proxy statements directly from the Custodian. The Advisor will assist in answering questions relating to proxies, however, the Client retains the sole responsibility for proxy decisions and voting.

### **Item 18 – Financial Information**

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Neither Alexis Advisors, LLC, nor its management has any adverse financial situations that would reasonably impair the ability of Alexis Advisors, LLC to meet all obligations to its Clients. Neither Alexis Advisors, LLC, nor any of its advisory persons, has been subject to a bankruptcy or financial compromise. Alexis Advisors, LLC is not required to deliver a balance sheet along with this Brochure as the firm does not collect advance fees for services to be performed six months or more in advance.

### **Item 19 – Requirements for State Registered Advisors**

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#### **A. Educational Background and Business Experience of Principal Officer**

Roberta Keller is the Chief Executive Officer of Alexis Advisors, LLC. Information regarding the formal education and background of Ms. Keller is included in Item 2 of Part 2B below.

#### **B. Other Business Activities of Principal Officer**

Ms. Keller is dedicated to the investment advisory activities of Alexis Advisors, LLC's Clients. Ms. Keller does not have any other business activities.

#### **C. Performance Fee Calculations**

Alexis Advisors, LLC does not charge performance-based fees for its investment advisory services. The fees charged by Alexis Advisors, LLC are as described in Item 5 – Fees and Compensation above and are not based upon the capital appreciation of the funds or securities held by any Client.

#### **D. Disciplinary Information**

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There are no legal, civil or disciplinary events to disclose regarding Alexis Advisors, LLC or Ms. Keller. Alexis Advisors, LLC nor Ms. Keller has ever been involved in any regulatory, civil or criminal action. There have been no client complaints, lawsuits, arbitration claims or administrative proceedings against Alexis Advisors, LLC or Ms. Keller.

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 Alexis Advisors, LLC or Ms. Keller.

**E. Material Relationships with Issuers of Securities**

Alexis Advisors, LLC nor Ms. Keller has any relationships or arrangements with issuers of securities.

## **Form ADV Part 2B Brochure Supplement**

for

**Roberta Keller  
Chief Executive Officer**

**Effective: 3/20/2025**

This Brochure Supplement provides information about the background and qualifications of Roberta Keller (CRD# **2356321**) in addition to the information contained in the Alexis Advisors, LLC, LLC (“Alexis Advisors, LLC” or the “Advisor” - CRD #167075) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you any questions about the contents of the Alexis Advisors, LLC Disclosure Brochure or this Brochure Supplement, please contact us at (804) 625.3290

Additional information about Ms. Keller is available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

### **Item 2 – Educational Background and Business Experience**

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The Chief Executive Officer of Alexis Advisors, LLC is Ms. Roberta Keller. Ms. Keller, born in 1962, is a dedicated Portfolio Manager for Client accounts of Alexis Advisors, LLC. Ms. Keller earned a Bachelor of Arts in French and English from

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Vanderbilt University in 1985. Her experiences in institutional investment management in New York, Connecticut and London during the 1990's shaped her views on managing client assets. Additional information regarding Ms. Keller's employment history is included below.

Chief Executive Officer & Founder, Alexis Advisors, LLC, LLC	04/2013 to Present
Registered Representative, Investors Security CO., Inc	05/2012 to 03/2013
Investment Advisor Representative, Brunson Advisors	01/2010 to 03/2013
Consultant, Data Blueprint	10/2009 to 06/2010
Business Advisor, Dominion Power	09/2008 to 08/2009
Senior Managing Consultant, North Highland/Highland Worldwide	10/2006 to 09/2008
Executive Vice President & Principal, Richweb, Inc	10/2001 to 09/2006
Unemployed	9/1999 – 10/2001
Institutional Investment Management: Ferrell Capital Management (Vice President); Bankers Trust (Vice President); EFG Bank (Manager, Investment Management)	1991 - 1999

### Item 3 – Disciplinary Information

**There are no legal, civil or disciplinary events to disclose regarding Ms. Keller.** Ms. Keller 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. Keller.

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. Keller.** However, we do encourage you to independently view the background of Ms. Keller on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). Select Investment Adviser Search from the left navigation menu. Then select the option for Investment Adviser Representative and enter **2356321** in the field labeled "Individual CRD Number".

### Item 4 – Other Business Activities

Ms. Keller is a dedicated to the investment advisory activities of Alexis Advisors, LLC's Clients. Ms. Keller does not have any other business activities.

### Item 5 – Additional Compensation

Ms. Keller is a dedicated to the investment advisory activities of Alexis Advisors, LLC's Clients. Ms. Keller does not have any other business activities.

### Item 6 – Supervision

Ms. Keller serves as the Chief Executive Officer and Chief Compliance Officer of Alexis Advisors, LLC.

### Item 7 – Requirements for State Registered Advisors

Ms. Keller does not have any additional information to disclose.

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## **Form ADV Part 2B Brochure Supplement**

**for**

**Samantha Vicchiarelli**

**Effective: 3/20/2025**

This Brochure Supplement provides information about the background and qualifications of Samantha Vicchiarelli (CRD# **6580491**) in addition to the information contained in the Alexis Advisors, LLC, LLC (“Alexis Advisors, LLC” or the “Advisor” - CRD #167075) Disclosure Brochure. If you have not received a copy of the Disclosure Brochure or if you any questions about the contents of the Alexis Advisors, LLC Disclosure Brochure or this Brochure Supplement, please contact us at (804) 625.3290

Additional information about Ms. Vicchiarelli is available on the SEC’s Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

### **Item 2 – Educational Background and Business Experience**

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The Associate Advisor of Alexis Advisors, LLC is Ms. Samantha Vicchiarelli. Ms. Vicchiarelli, born in 1994, is a dedicated Financial Planner for Client accounts of Alexis Advisors, LLC. Ms. Vicchiarelli earned a Bachelor of Science in Business Financial Planning from Stockton University in 2016, and a Master of Business Administration from Stockton University in 2020. Additional information regarding Ms. Vicchiarelli's employment history is included below.

Associate Advisor/ Financial Planner, Alexis Advisors, LLC, LLC	05/2023 to Present
Registered Analyst - Relationship Management, Bank of America, N.A.	07/2019 to 04/2023
Registered Analyst - Relationship Management, Merrill Lynch, Pierce, Fenner & Smith Incorporated	11/2015 to 04/2023
Waitress, Yesterdays Bar	05/2014 to 09/2020

### Item 3 – Disciplinary Information

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**There are no legal, civil or disciplinary events to disclose regarding Ms. Vicchiarelli.** Ms. Vicchiarelli 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. Vicchiarelli.

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. Vicchiarelli.** However, we do encourage you to independently view the background of Ms. Vicchiarelli on the Investment Adviser Public Disclosure website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). Select Investment Adviser Search from the left navigation menu. Then select the option for Investment Adviser Representative and enter **6580491** in the field labeled "Individual CRD Number".

### Item 4 – Other Business Activities

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Ms. Vicchiarelli is dedicated to the financial planning activities of Alexis Advisors, LLC's Clients. Ms. Vicchiarelli does not have any other business activities.

### Item 5 – Additional Compensation

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Ms. Vicchiarelli is dedicated to the financial planning activities of Alexis Advisors, LLC's Clients. Ms. Vicchiarelli does not have any other business activities.

### Item 6 – Supervision

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Ms. Vicchiarelli serves under the supervision of Ms. Keller, Chief Executive Officer and Chief Compliance Officer of Alexis Advisors, LLC.

### Item 7 – Requirements for State Registered Advisors

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Ms. Vicchiarelli does not have any additional information to disclose.

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#### Alexis Advisors, LLC

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