

## ITEM 1: COVER PAGE

# Weiser Financial Group LLC

## Registered Investment Advisory Firm

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### FORM ADV PART 2A & 2B

March 22, 2023

Weiser Financial Group LLC is a Registered Investment Advisor with offices in Venice, Florida. This brochure provides information about the qualifications and business practices of our firm. Its purpose is to provide you with information that may help you decide on whether to retain our services.

If you have any questions about the contents of this brochure, please call us at (941) 363-1004 or FAX us at (941) 870-7863. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission (SEC) or by any state securities authority. Registration with the State of Florida does not imply a certain level of skill or training. The written communications of an Advisor provide you with information through which you determine to hire an Adviser. Additional information about our firm is also available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).



Mailing Address:

6547 Midnight Pass Road  
Box 11  
Sarasota, Florida 34242

Office Address:

871 Venetia Bay Boulevard  
Suite 203  
Venice, Florida 34285

[WeiserFinancialGroup.com](http://WeiserFinancialGroup.com) (website)

(941) 363-1004 (office)

(941) 870-7863 (fax)

[WeiserFinancialGroup@protonmail.com](mailto:WeiserFinancialGroup@protonmail.com) (email)

## ITEM 2: MATERIAL CHANGES

This annual update for consultant was completed on March 22, 2023 and includes changes made from the firm's annual update on February 28, 2022, on Forms ADV Part 2A & 2B.

### **MATERIAL CHANGES**

We are required to tell you about any material changes in this updated brochure. According to the SEC, the definition of material information is any information pertaining to a particular business that might be relevant to an investor's decision on whether to retain our businesses services.

1. None

### **NON-MATERIAL CHANGES**

We will also tell you about any non-material changes in the updated brochure.

1. The primary email for our firm has changed to [WeiserFinancialGroup@protonmail.com](mailto:WeiserFinancialGroup@protonmail.com) The change was made to enhance our security protocol. We maintain and monitor email addresses that were used in the past.

### **BROCHURE DISTRIBUTION**

The Form ADV Part 2A and 2B will be made available each year to all clients by March 31st and will be offered to prospective clients prior to engagement of consultant's services with the Consultants Client Agreement. Consultant will further provide existing clients with a new brochure as necessary based on material changes or non-material changes.

You may view, download, and print Consultants current Form ADV Part 2A and 2B from Consultants website at <http://www.weiserfinancialgroup.com> You may also request a hard-copy brochure be mailed to you at any time and at no charge by calling Consultant at (941) 363-1004 or sending Consultant a FAX at (941) 870-7863.

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## ITEM 4: ADVISORY BUSINESS

### **ADVISORY SERVICES OF WEISER FINANCIAL GROUP LLC**

Weiser Financial Group LLC (“Consultant”) conducts business as an unaffiliated Advisor for third party money managers (“Advisors”) to manage Clients’ accounts. Consultant began operations in 2008 and is owned and operated by Kim A. Weiser (Principal) and Daniel J. Weiser (Designated Principal), a Licensed Investment Advisor Representative.

Consultant will compile prospective client’s personal and financial information and discuss prospective client’s goals and objectives by completing Advisors new account documents. If Consultant deems it to be appropriate, suitable and consistent, Consultant may recommend that prospective Client open an Account with Advisor. As part of the Account opening process, Consultant will assist Client in understanding and completing the necessary forms to establish an Account. Consultant will forward to the Advisor all necessary information and documentation concerning client’s financial condition or other matters that Advisor requires Consultant to collect. Consultant will immediately communicate Clients instructions, including any reasonable restrictions Client may impose on the Account, to the Advisor. Consultant will contact Clients periodically to review with the Client his or her satisfaction with the Advisor. Consultant reminds Clients to notify Consultant when their financial situation, investment objectives, or any account related information changes. Clients may also contact the Advisor directly.

### **DISCLOSURE OF REFERRAL AGREEMENT**

Weiser Financial Group LLC (“Consultant”) and Edelman Financial Engines LLC (“Advisor”) are two unaffiliated advisors registered under the Investment Advisers Act of 1940. Consultant conducts business as an Independent Consultant for Advisor. Consultant is introducing you to Advisor, for the purpose of you becoming an investment advisory client of Advisor. No account will become effective until accepted by Advisor, and Advisor will be the fiduciary for your account(s). Consultant has an arrangement with Advisor under which Consultant presents prospective clients to Advisor. An ongoing fee will be paid quarterly in arrears by Advisor to the Consultant based on the average daily balance of your account. The fee paid by Advisor is not passed on to you and accordingly, you will not pay a higher fee with Advisor as a result of Consultants arrangement. Your total Advisor fee, utilizing the services of Consultant, is equal in all regards to the fees charged other clients of Advisor that do not open their accounts through an Independent Consultant and use Advisor directly. Consultant conducts business in a solicitor capacity only. Other than referring you to Advisor, Consultant provides no investment advisory services or programs, no investment management services, does not render any personal investment advice, independently or on behalf of Advisor, and does not directly manage client assets, act or bind on behalf of Advisor and does not provide insurance, taxation, legal, or estate planning advice.

### **DUE DILIGENCE OF WEISER FINANCIAL GROUP LLC**

Prior to entering into an agreement with an Advisor, Consultant conducts an evaluation of the Advisor by interviewing managers and principals of the firm and reviewing disclosure documents, contracts, risk, past performance, reporting procedures, and disciplinary history (if any) of the firm and its principals.

## DISCLOSURE DOCUMENTS

Prospective clients will receive 1) Electronic notice and online access or 2) Electronic delivery or 3) Physical delivery of the following documents from Consultant prior to entering into Consultants Client Agreement and opening any new accounts with Advisor. Furthermore, existing clients will receive electronic notice and online access 1) Immediately for all non-annual updates and 2) By March 31<sup>st</sup> of each year; for annual updates to Consultants disclosure documents.

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### ADVISOR'S DISCLOSURE & MARKETING DOCUMENTS

1. Edelman Financial Engines LLC Suitability Questionnaire
2. Edelman Financial Engines LLC Guide to Portfolio Selection Questionnaire
3. Edelman Financial Engines LLC Form ADV Part 2, Schedule H (Wrap Program)
4. Edelman Financial Engines LLC Privacy Policy
5. Edelman Financial Engines LLC Marketing Brochure
6. Edelman Financial Engines LLC Presentations
  - a. Adams Portfolio
  - b. Madison Portfolio
  - c. Washington Portfolio
7. Edelman Financial Engines LLC Estimated Expenses
8. Advisor's Tri-Party Investment Management Agreement

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### CUSTODIAN'S DISCLOSURE & MARKETING DOCUMENTS

9. Special Tax Notice on Rollovers (IRS form 402(f))
10. Core Account Prospectus with TD Ameritrade (TOAXX)
11. TD Ameritrade Institutional Disclosure Packet
12. TD Ameritrade IRA Custodial Account Agreement
13. TD Ameritrade New Account Application
14. TD Ameritrade Move Money Form
15. TD Ameritrade IRA Distribution/Withholding Form
16. TD Ameritrade Account Transfer Form

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### CONSULTANTS DISCLOSURE & MARKETING DOCUMENTS

17. Weiser Financial Group LLC Form ADV Part 2
18. Weiser Financial Group LLC Privacy Policy
19. Weiser Financial Group LLC Anti-Money Laundering (AML) Compliance Program Disclosure
20. Weiser Financial Group LLC Business Continuity Plan & Succession Disclosure
21. Weiser Financial Group LLC Disclosure of Referral Agreement (in Form ADV Part 2)
22. Frequently Asked Questions About Edelman Financial Engines (Website)
23. Edelman Financial Engines Investment Philosophy (Website)
24. Article: Why You Need Long-Term Care Insurance
25. Article: Do You Know the True Cost of Your Advisor
26. Weiser Financial Group LLC Client Agreement

**NOTICES**

All written notices to Consultant shall be sent by either 1) FAX: (941) 870-7863 with confirmation of delivery or 2) United States Postal Service with signature confirmation of delivery to: Weiser Financial Group LLC, 6547 Midnight Pass Road, Box 11, Sarasota, Florida 34242.

All correspondence, notices, and disclosures to Client will be provided utilizing the email address of record, or such other address as may be provided by Client in writing, that Client provides to Consultant. If Clients do not agree to electronic notice & access and/or electronic delivery of written notices and prefer delivery in paper format, they must notify Consultant by approved delivery methods listed in paragraph one.

**RISK ACKNOWLEDGMENT**

Consultant does not guarantee the future performance of Clients Account(s) or any specific level of performance. Clients understand that the market values of the securities in the Account(s) will fluctuate. Shares redeemed may be worth more or less than Clients original purchase price. Consultant will not be liable to Client for any loss 1) That Client may suffer as a result of good faith decisions or actions by the Consultant 2) Caused by Consultant or Advisor following Clients instructions 3) Caused by the Custodian or Advisor. Client understands Advisors use different investment approaches, with related risk factors, and fees associated with investing. There is no guarantee that Client's investment objectives will be achieved, and that past performance is not a guarantee of future results. Client further understands that Consultant shall not have any liability for Client's failure to inform Consultant in a timely manner of any material change in Client's financial circumstances which might affect the manner in which Client's assets are invested, or for Client's failure to provide Consultant with information pertaining to Client's financial status as Consultant may reasonably request.

**EFFECTIVE DATE AND TERMINATION OF CONSULTANTS CLIENT AGREEMENT**

The Consultants Client Agreement shall become effective on the date it is signed and accepted by both Client and Consultant and shall remain in effect until terminated by either party. Either party may terminate the Agreement for any reason upon written notice to the other party(ies). Termination by Client is effective upon receipt of written notice by the Consultant. Termination by Consultant is effective thirty (30) days from the delivery date of notice to Client. Client's death, disability, or incompetency will not automatically terminate or change the terms of the Consultants Client Agreement; however, Client's authorized representative(s) may cancel the Consultants Client Agreement by providing written notice to Consultant.

Fees paid to Consultant from Advisors vary; therefore, there may be a conflict of interest in recommending an Advisor that shares a larger portion of its advisory fees over another Advisor. Consultant has a solicitors' agreement with only Edelman Financial Engines LLC (Advisor). Additional details of fees and payment structure are in the Form ADV Part 2 and other disclosure documents of the Advisor.

## ITEM 5: FEES AND COMPENSATION

There is no additional up front or ongoing cost to Clients related to opening their Advisors account(s) through the Consultant. The Consultants fee is paid out of the Advisor's normal and customary management fee charged to all clients of the Advisor, regardless of whether the accounts are opened through a consultant or directly with the Advisor. Consultant does not have an exclusive agreement with Advisor; Clients have the option to purchase Advisors investment products through Advisor directly or parties not affiliated with Consultant. Clients will not be asked to pay any fees to Consultant at any time. Consultant operates under a solicitation agreement with Advisor. Compensation to Consultant will not be based on a share of capital gains upon or capital appreciation of Clients funds or any portion of the Client funds.

When placing mutual funds under management of the Advisor the fees assessed by Advisor are in addition to the fees and expenses charged by the mutual fund companies. Disclosure of these fees and expenses are in the respective prospectuses for the mutual funds. The Advisors fee covers: Investment management and account-related services, commissions, trading costs, brokerage fees, securities custody and clearance services, automatic daily review and rebalancing (if necessary) of client's accounts, and other administrative charges.

Advisor charges an annual fee, calculated and debited quarterly from a clients account in arrears. This fee is based on the beginning and ending values of the account (adjusted for any money clients deposit or withdraw during the quarter). If clients move assets into or out of their account during the quarter, their fee is pro-rated so that they are charged only for the time their assets are in the account. Compensation to Advisor is not payable before services are provided. Client's quarterly statements will show the management fee for the quarter; Clients will also receive a year-end summary. Consultant receives a portion of the advisory fee assessed by Advisor, as a Consultants Fee. There is no additional cost to a client related to the payment of the fee by the Advisor to Consultant. Consultant does not charge clients any additional advisory fees or management fees. Clients may terminate their account at any time without penalty; the fee stops immediately upon termination.

Tiered Fee Schedule

Account Size	Total Fee	Unaffiliated Advisor
First \$400,000	1.75%	1.05%
Next \$350,000	1.25%	0.75%
Next \$250,000	1.00%	0.50%
Next \$2 million	0.75%	0.35%
Next \$7 million	0.60%	0.25%
Next \$15 million	0.50%	0.20%

*Amounts above \$25 million are negotiable*

- ❖ The minimum account size is \$3,000 for households that establish multiple accounts, provided the total for all accounts is at least \$50,000
- ❖ The minimum annual fee is \$1,000
- ❖ When calculating advisory fees, family accounts are aggregated to determine the lowest percentage



## ITEM 6: PERFORMANCE-BASED FEES AND SIDE-BY-SIDE MANAGEMENT

This item is not applicable to Consultants business.

## ITEM 7: TYPES OF CLIENTS

Consultant conducts business as an unaffiliated solicitor for third party money managers to manage clients' accounts, as described more fully in Item 4 above. Consultant does not provide investment advice and does not manage assets for any type of client. Consultant provides solicitation services to Edelman Financial Engines LLC through introductions to other individuals or organizations.

## ITEM 8: METHODS OF ANALYSIS, INVESTMENT STRATEGIES & RISK OF LOSS

Consultant does not provide investment advisory services to clients nor does Consultant manage client assets.

## ITEM 9: DISCIPLINARY INFORMATION

Registered investment advisers are required to disclose all material facts regarding any legal or disciplinary events that would-be material to your evaluation of the investment advisor or the integrity of their management. Consultant and its Investment Advisor Representatives have no history of any current or pending legal or disciplinary action.

## ITEM 10: OTHER FINANCIAL INDUSTRY ACTIVITIES AND AFFILIATIONS

Consultant has no other Financial Industry Activities and/or Affiliations.

## ITEM 11: CODE OF ETHICS, PARTICIPATION OR INTEREST IN CLIENT TRANSACTIONS AND PERSONAL TRADING

In accordance with SEC Rule 204A-1 of the Investment Advisers Act of 1940, Consultant maintains and enforces a Code of Ethics. The code contains requirements regarding employee compliance with all laws, rules, and regulations, and contains provisions for reporting violations of the Code to the Firm's Chief Compliance Officer. The Florida Office of Financial Regulation does not require that certain of our personnel (called "Access Persons") report their personal securities holdings and transactions and obtain pre-approval of certain investments such as initial public offerings and limited offerings. To review a copy of Consultants Code of Ethics, please contact Consultant.

## ITEM 12: BROKERAGE PRACTICES

Consultant does not provide investment advisory services to clients nor does Consultant manage client assets. Therefore, Consultant does not select or recommend broker-dealers for client transactions and does not execute transactions for clients.

## ITEM 13: REVIEW OF ACCOUNTS

Consultants Investment Advisor Representatives periodically review reports provided by the Advisor and contact clients periodically to review client's satisfaction with the Advisor. Periodic reports are provided to clients by Advisor in accordance with the Advisors disclosure documents and/or client agreement.

## ITEM 14: CLIENT REFERRALS AND OTHER COMPENSATION

Consultant receives compensation in the form of solicitor's fees for referrals of individuals or organizations to Advisor. Advisor has agreed to pay Consultant a percentage of the fees generated from its Wrap Fee Program, as more fully described in Part 2 of Advisors Form ADV. All referral fees paid to Consultant represent a portion of the fees charged by Advisor for the Wrap Fee Program and do not result in additional fees above that which Advisor would otherwise charge for managing client accounts.

Consultant has entered referral agreement(s) whereby Consultant pays solicitors a referral fee for the introduction of individuals or other organizations. Consultants referral fees are paid in accordance with the requirements of Rule 206(4)-3 of the Advisers Act and any corresponding state securities law requirements and any such referral fees shall be paid solely from the fees Consultant receives from Advisor and shall not result in any additional charge to clients.

## ITEM 15: CUSTODY

Consultant does not have custody of client funds or securities.

## ITEM 16: INVESTMENT DISCRETION

Consultant does not provide investment advisory services to clients nor does Consultant manage client assets on either a discretionary or non-discretionary basis.

## ITEM 17: VOTING CLIENT SECURITIES

Consultant does not provide investment advisory services to clients nor does Consultant manage client assets and, therefore, Consultant does not vote proxies on behalf of clients.

## ITEM 18: FINANCIAL INFORMATION

Registered investment advisers are required in this Item to provide you with certain financial information or disclosures about investment advisors' financial condition. Consultant has no financial commitment that impairs Consultants ability to meet contractual commitments to clients and has not been the subject of a bankruptcy proceeding.

## ITEM 19: REQUIREMENTS FOR STATE-REGISTERED ADVISORS

### **PRINCIPAL EXECUTIVE OFFICERS AND MANAGEMENT PERSONS**

Daniel J. Weiser, born in 1958, is the Designated Principal and Chief Compliance Officer for Consultant. He holds Master's and Bachelor's Degrees and is a Series 65 Licensed Investment Advisor Representative. From 1985 to 2009, Mr. Weiser was a pilot with ABX Air, Inc. (a.k.a. Airborne Express) and served as a trustee for the ABX Air Pilots 401(k) Plan and Chairman of the ABX Air Pilots Retirement Committee.

### **OTHER BUSINESS ACTIVITY**

None.

### **COMPENSATION FOR ADVISORY SERVICES WITH PERFORMANCE BASED FEES**

This item is not applicable to Consultant's business.

### **DISCIPLINARY ACTION**

Consultant and their Investment Advisor Representatives have no history of any current or pending legal or disciplinary action.

### **RELATIONSHIPS AND ARRANGEMENTS**

Consultants only alliance is with Advisor as discussed in Item 14. Consultant conducts business with no affiliations to any custodians, mutual funds, exchange traded funds, or third-party money managers.

## PART 2A OF FORM ADV APPENDIX 1: WRAP FEE PROGRAM BROCHURE

This item is not applicable to Consultant's business.

## PART 2B OF FORM ADV: BROCHURE SUPPLEMENT

This Brochure Supplement provides information about the Investment Advisor Representatives of Weiser Financial Group LLC. Additional information about Daniel J. Weiser is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov)

### EDUCATIONAL BACKGROUND AND BUSINESS EXPERIENCE

**Year of Birth:** 1958

**Formal Education:** Bachelor of Science (BS) in Flight Technology & Management from Western Michigan University in Kalamazoo, MI  
Master of Arts in Education (MAED) from Touro University in Los Angeles, CA

**Business Background:** Daniel J. Weiser flew as a commercial pilot for over 30 years, retiring in 2009 as a B-767 Captain and Check Airman, an airman approved by the FAA who has the appropriate knowledge, training, experience, and demonstrated ability to train, evaluate and certify the knowledge and skills of other pilots in the B-767. He has been an investment advisor representative since 2008 with Weiser Financial Group LLC. Prior to Weiser Financial Group LLC, Daniel was an investment advisor representative with Financial Leadership Advisors, Inc. From 2000 through 2007 Daniel served as a trustee on the Airborne Express, Inc. pilot's \$180,000,000 401(k) Plan. His trustee responsibilities included lead negotiator during a change in 401(k) providers, regulatory supervision, and management of the pilot's 401(k) plan. From 2000-2005 Daniel also served as chairman of the 770-member pilots' retirement and insurance committee at Airborne Express.

#### Employment History

<u>Employment Dates</u>	<u>Employer Name</u>	<u>Employer Location</u>
08/2008 – Present	Weiser Financial Group LLC	Sarasota, FL
12/1985 – 11/2009	ABX Air, Inc. (d/b/a Airborne Express)	Wilmington, OH
01/2008 – 06/2008	Financial Leadership Advisors, Inc.	Johns Creek, GA

**Professional License(s):**

- Series 65, Uniform Investment Adviser Law Examination
- Florida 2-14 Insurance License for Life Insurance, Fixed, and Indexed Annuities
- Wisconsin Real Estate License

**DISCIPLINARY INFORMATION:** Like all Registered Investment Advisors, we are required to disclose all material facts regarding any legal or disciplinary events that could materially influence your evaluation of your advisor. Daniel J. Weiser has no legal or disciplinary events to report.

**OTHER BUSINESS-RELATED ACTIVITIES:** Daniel J. Weiser is not actively engaged in any other investment-related or non-investment related businesses or occupations.

**ADDITIONAL COMPENSATION:** None

**SUPERVISION:** Daniel J. Weiser provides investment advisory services in accordance with 1) Weiser Financial Group LLC's Written Supervisory Procedures Manual 2) Weiser Financial Group LLC's Form ADV Part 1 and Form ADV Part 2 and 3) The Florida Office of Financial Regulation (FLOFR) Division of Securities Investment Advisor Guide. The primary purpose of the Weiser Financial Group LLC's Written Supervisory Procedures Manual

is to comply with the requirements of the Florida Statutes and Florida Administrative Code. Daniel J. Weiser can be reached at [Dan@WeiserFinancialGroup.com](mailto:Dan@WeiserFinancialGroup.com) or by calling (513) 237-8660.