

## Form CRS Customer Relationship Summary

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### Item 1 – Introduction

Roundview Capital, LLC (“Roundview”) is registered with the Securities and Exchange Commission (SEC) as an investment advisor. Brokerage and investment advisory services and fees differ, and it is important for you to understand these differences. Free and simple tools are available to research firms and financial professionals at [Investor.gov/crs](http://Investor.gov/crs), which also provides educational materials about broker dealers, investment advisors, and investing.

### Item 2 – Relationships and Services

#### *What investment services and advice can you provide me?*

Roundview provides investment advisory and financial planning services to its clients. Client accounts are monitored on an ongoing basis by Roundview investment professionals.

The client can engage Roundview to provide discretionary and/or in special limited circumstances non-discretionary investment advisory services. When engaged on a discretionary basis, Roundview has the authority, without prior consultation with you (unless you impose restrictions on our discretionary authority), to buy, sell, trade and allocate the investments within your account(s) consistent with your investment objectives. For assets managed on a non-discretionary basis, the client makes the ultimate decision regarding the purchase or sale of investments. Our investment authority continues until your engagement with Roundview is terminated. When the client engages Roundview to provide financial planning and consulting services, Roundview relies upon the information provided by the client and does not verify or monitor any such information while providing this service. Roundview’s financial planning and consulting services are completed upon the communication of our recommendations to the retail investor.

Roundview does not limit the scope of its investment advisor services to proprietary products or a limited group or type of investment. Roundview generally imposes a minimum aggregate account value of \$1,000,000 for investment advisory services. More detailed information is available in Roundview’s [Form ADV, Part 2A brochure](#) (Items 4 and 7 of Part 2A).

#### *Conversation Starter Questions*

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

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

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

### Item 3 – Fees, Costs, Conflicts, and Standard of Conduct

#### *What fees will I pay?*

Roundview bases its fees on a percentage of assets under management and fixed fees. If a client determines to engage Roundview to provide discretionary and/or non-discretionary investment advisory services on a *fee* basis, Roundview’s annual investment advisory fees shall vary (up to 1.50% of the total assets placed under Roundview’s management/advisement) and shall be based upon the level and scope of the overall investment advisory services to be rendered. Each fee is payable in semi-annual installments (up to 0.75%) in arrears, based upon the value of the assets under management as of the end of the semi-annual period appropriately weighted to give effect to additions to and withdrawals from the account during the applicable period. Because Roundview’s fee is calculated as a percentage of the client’s assets under management, the more assets the client has in its advisory account, the more the client will pay for investment management services. Therefore, Roundview has an incentive to encourage the client to increase the assets maintained in accounts Roundview manages.

The client’s investment assets will be held with a qualified custodian. Custodians charge brokerage commissions and/or transaction fees for effecting certain securities transactions (for example, transaction and redemption fees may be

Our ADV Part 2A is available in full at the following address: <https://bit.ly/RVC-ADV2020>

charged for certain mutual fund transactions). These charges will be assessed in accordance with the custodian's fee schedule. In addition, relative to mutual fund and exchange traded fund purchases, certain charges will be imposed at the fund level (e.g., management fees and other fund expenses).

You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce any amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying. More detailed information is available in Roundview's [Form ADV, Part 2A](#), Item 5.

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

***What are your legal obligations to me when acting as my investment advisor? How else does your firm make money and what conflicts of interest do you have?***

When we act as your investment advisor, we have to act in your best interest and not put our interest ahead of yours. At the same time, the way we make money creates some conflicts with your interests. You should understand and ask us about these conflicts because they can affect the investment advice we provide you. Here are some examples to help you understand what this means:

- Roundview may recommend a particular custodian from whom it receives support services and/or products, certain of which assist Roundview to better monitor and service the client's account.
- If Roundview recommends that a client roll over their retirement plan assets into an account to be managed by Roundview, such a recommendation creates a conflict of interest if Roundview will earn a new, or increase its current, advisory fee as a result of the rollover.

For more detailed information about our conflicts of interest, please review Roundview's [Form ADV, Part 2A](#).

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

***How do your financial professionals make money?***

Roundview financial professionals are compensated based on the amount of client assets they service and the resulting fee revenue paid by the client. Because Roundview is generally compensated based on assets under management, this compensation arrangement presents a conflict of interest, as financial professionals are incentivized to increase client assets under Roundview's management. The client should discuss their financial professional's compensation directly with their financial professional.

**Item 4 – Disciplinary History**

***Do you or your financial professionals have legal or disciplinary history?***

No, Roundview and its employees have not been involved in legal or disciplinary events related to past or present investment clients. Visit [Investor.gov/CRS](http://Investor.gov/CRS) for a free and simple search tool to research us and our financial professionals.

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

**Item 5 – Additional Information**

For additional information about our services or to request an updated copy of our Form CRS Relationship Summary, please call us at (609) 688-9500.

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