

Prostatis Group, LLC

CRD #132662

Form ADV Part 3

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Item 1. Introduction

Investment Adviser

Prostatis Group, LLC, is an investment adviser registered with the Securities and Exchange Commission. Brokerage and investment advisory services and fees differ, and it is important for a retail investor (defined as a natural person, or the legal representative of such natural person, who seeks to receive or receives services primarily for personal, family, or household purposes) to understand the differences. Free and simple tools are available to research firms and financial professionals on the SEC's investment education website at Investor.gov/CRS which provides educational materials about broker-dealers, investment advisers, and investing.

Item 2. Relationships and Services

What investment services and advice can you provide me?

Description of Services

We offer investment management services through our firm and also through utilizing unaffiliated third-party portfolio managers. We also provide financial planning and consulting services to help you set goals and plan for your financial future.

Monitoring: We monitor investments on a quarterly basis. Reviews may also be triggered by changes in a client's personal, tax or financial status. Macroeconomic and company specific events may also trigger reviews. Financial plans are only reviewed upon request. There are no material limitations on our monitoring services.

Investment Authority: We manage assets within managed accounts on both a discretionary basis (executing securities transactions without having to obtain prior consent from you) and on a non-discretionary basis (we notify you and obtain permission prior to the sale or purchase of each security).

Limited Investment Offerings: We do not offer any proprietary investment products.

Conversation Starters

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?

Description of Principal Fees and Costs

We charge the following fees for asset management:

<u>Assets Under Management</u>	<u>Annual Rate (%)</u>
Up to \$249,999	2.00%
\$250,000 to \$500,000	1.75%
\$500,001 to \$1,500,000	1.50%
\$1,500,001 to \$2,500,000	1.25%
\$2,500,001 to \$3,000,000	1.00%

We also place assets with third-party managers. When we do so, you will pay the following additional fees:

<u>Assets Under Management</u>	<u>Annual Rate (%)</u>
Up to \$499,999	1.25%
\$500,000 to \$1,500,000	1.00%
\$1,500,001 to \$2,500,000	.90%
\$2,500,001 to \$3,500,000	.80%
Over \$3,500,000	.70%

Financial Planning & Consulting Fees

We offer financial planning and consulting services at a rate of \$325 per hour. In addition, we charge a fixed retainer fee of from \$500 to \$2,500 based on the range and complexity of the financial planning services provided.

Conflicts of Interest

Adviser personnel are also registered representatives of a broker-dealer. In addition, we have affiliated businesses that provide insurance services and tax preparation. A principal of the firm is an attorney for a law firm that offers consulting in estate planning, tax, and miscellaneous legal issues.

When we offer multiple services, there is an incentive to recommend services offered by us, our employees, or associates because we may receive additional fees. The more assets that you have in your advisory account, the more you will pay in fees, creating an incentive for us to encourage you to increase the amount of assets in your accounts.

Description of Other Fees and Costs

Client accounts may incur additional fees and charges, such as transaction costs, retirement plan administration fees, and other mutual fund annual expenses that are charged by broker-dealers, plan administrators or mutual fund companies that sell securities or provide additional services. These fees are in addition to and separate from advisory fees.

Additional Information

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.

Conversation Starters

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

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

When we act as your investment adviser, we have to act in your best interest and not put our interests 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:

A conflict of interest is created whenever we or one of our associated persons recommend products or services to you for which we receive compensation.

How do your financial professionals make money?

Financial professionals are investment adviser representatives and receive a portion of fees generated by the client relationships being serviced including the amount of client assets.

Conversation Starter

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?

Item 4. Disciplinary History

Conversation Starter

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

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

Use the following link for information regarding investment adviser representatives:

<https://www.adviserinfo.sec.gov/IAPD/Default.aspx>

Item 5. Additional Information

Conversation Starters

Who is my primary contact person?

Is he or she a representative of an investment adviser or a broker-dealer?

Who can I talk to if I have concerns about how this person is treating me?

A retail client can find additional information about our services and receive a copy of this relationship summary by visiting our website at www.prostatisfinancial.com or contacting us at (410) 863-1040 if you have any questions or to request up-to-date information.