

# *Sagewood Investment Advisors, LLC*

*2615 Mars Hill Church Road  
Acworth, GA 30101*

[www.sagewoodinvestmentadvisors.com](http://www.sagewoodinvestmentadvisors.com)

*678.742.7410*

## *Part 2A of Form ADV: Firm Brochure*

*July 26, 2017*

This brochure provides information about the qualifications and business practices of Sagewood Investment Advisors, LLC. If you have any questions about the contents of this brochure, please contact us at 678.742.7410. 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.

Sagewood Investment Advisors, LLC is a registered investment adviser. Registration of an investment adviser does not imply any level of skill or training. The oral and written communications of an adviser provide you with information about which you determine to hire or retain an adviser.

Additional information about Sagewood Investment Advisors, LLC is also available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). Our CRD Number is 281526.

ITEM 2: **Material Changes**

Form ADV Part 2 requires registered investment advisers to amend their brochure when information becomes materially inaccurate. If there are any material changes to an adviser’s disclosure brochure, the adviser is required to notify you and provide you with a description of the material changes.

Our most recent annual amendment to this disclosure brochure was dated February 7, 2017. Since that time we have made the following material changes to our brochure:

- Consultation services to other registered investment advisers have been removed.
- James Meynard, Managing Member and CCO of Sagewood, is now also employed as an Senior Risk Manager with WP Global Partners a registered investment adviser. (See *ITEM 10*)

The most current version of our brochure can be found on our website at [www.sagewoodinvestmentsadvisors.com](http://www.sagewoodinvestmentsadvisors.com) or may be requested by contacting James R. Meynard, Managing Member, at 678.742.7410 or [jim@sagewoodinvestmentsadvisors.com](mailto:jim@sagewoodinvestmentsadvisors.com). We will provide you with a new brochure at any time without charge.

Additional information about our company is also available via the SEC’s website: [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). The SEC’s website also provides information about any persons affiliated with us who are registered as investment adviser representatives of Sagewood Investment Advisors, LLC. Information on our investment adviser representatives who work with your account can be found in our brochure supplements located at the end of our disclosure brochure.

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#### **ITEM 4: Advisory Business**

Sagewood Investment Advisors, LLC (“Sagewood”, “We” or “Our”) is a limited liability company organized under the laws of the State of Georgia. James “Jim” R. Meynard, Managing Member, founded the investment advisory firm in 2015 and is the principal owner.

The following paragraphs describe our services and fees. As used in this brochure, the words "we", "our" and "us" refer to Sagewood and the words "you", "your" and "client" refer to you as either a client or prospective client of our firm. The term “investor” refers to clients and potential clients of other Registered Investment Advisers. Also, you may see the term Associated Person through-out this brochure. Our Associated Persons are our firm's officers, employees, and all individuals providing investment advice on behalf of our firm.

We use the terms "we" and "our" throughout this disclosure brochure to refer to Sagewood Investment Advisors, LLC. The use of these terms is not intended to imply that there is more than one individual associated with this firm.

#### *Consulting Services*

We consult with institutional investors, (corporate and municipal pension funds, endowments, foundations and non-profit associations) with respect to matters of governance, administration, vendor selection, investment concepts and asset

allocation. We provide an on-site examination of existing conditions and procedures, followed by a thorough methods analysis and discussion of recommendations with supporting rationale. We enter into a definitive consulting agreement in which deliverable products are determined by the services secured.

#### *Financial Planning*

We can prepare and provide a written financial plan designed to help achieve financial goals and investment objectives. The preparation of such a plan necessitates that we are provided with personal data such as:

- family records,
- budgeting,
- personal liability,
- estate information and
- additional financial goals.

The financial plan will include any or all of the following as requested or directed and agreed by contract:

- asset protection,
- tax planning,
- business succession,
- strategies for exercising stock options,
- cash flow,
- education planning,
- estate planning and wealth transfer,
- charitable gifting,
- long-term care and disability planning,
- retirement planning,
- insurance planning, and
- risk management.

We do not provide accounting or legal advice. Should you, the client, choose to implement the recommendations contained in the plan, we suggest that you work closely with your attorney, accountant, insurance agent, and stockbroker.

#### **ITEM 5: Fees and Compensation**

##### *Fees for Consulting Services*

We offer our consulting services to institutional investors on a fee-only basis. Our fees for consultations are based on an hourly rate or a monthly retainer.

You must pay our monthly retainer for consultation services in advance of receiving our services. Should you terminate the consultative services advisory agreement we have entered into before the end of the minimum engagement period, any retainer fees you have paid are non-refundable. Any due on the balance of the hourly agreement are immediately due and payable at the time of termination.

##### *Fees for Financial Planning*

We charge a fee of \$100 per hour for our financial planning services.

Fees are negotiable and will vary depending upon the complexity of the client situation and services to be provided. An estimate for total hours will be determined at the start of the advisory relationship. Similar financial

planning services may be available elsewhere for a lower cost to the client.

Our fee schedule is described as follows:

<b>FEE SCHEDULE<sup>1</sup></b>	
<b>Consultation Services for Institutional Investors:</b>	
)	<b>\$100 Per Hour; Minimum Ten Hour Engagement; Billable in 15 Minute Increments</b>
)	<b>\$2,000 Per Month Retainer with a 6 Month Minimum Engagement</b>
<b>Financial Planning:</b>	
)	<b>\$100 Per Hour</b>

<sup>1</sup>All fees are negotiable at our sole discretion.

#### **ITEM 6: Performance-Based Fees and Side-by-Side Management**

Performance-based fees are fees that are based on a share of capital gains or capital appreciation of a client's account. Side-by-side management refers to the practice of managing accounts that are charged performance-based fees while at the same time managing accounts that are not charged performance-based fees.

We do not accept performance-based fees or participate in side-by-side management. Our fees are calculated as described in the **Fees and Compensation** section above, and are not charged on the basis of a share of capital gains upon, or capital appreciation of, the funds in your advisory account.

#### **ITEM 7: Types of Clients**

We provide advisory services to institutional investors including, but not

limited to, corporate, foundation, endowment and municipal and other governmental entities, relative to their investible assets, and individuals of moderate to high-net worth for financial and wealth management.

**ITEM 8: *Methods of Analysis, Investment Strategies and Risk of Loss***

The methods of analysis and investment strategies used by the unaffiliated registered investment advisers we recommend are disclosed in their firm brochures. This disclosure is important and should be read thoroughly.

All investments involve risks that can result in loss:

- loss of principal,
- a reduction in earnings (including interest, dividends and other distributions), and
- the loss of future earnings.

Additionally, these risks include:

- market risk,
- interest rate risk,
- issuer risk, and
- general economic risk.

All investors should be prepared to bear the risk of loss.

**ITEM 9: *Disciplinary Information***

We have not been the subject of any legal or disciplinary events that would be material to your evaluation of our business or the integrity of our management.

**ITEM 10: *Other Financial Industry Activities and Affiliations***

James Meynard, Managing Member and CCO of Sagewood, is also employed as an Senior Risk Manager with WP Global Partners a registered investment adviser. Mr. Meynard also recommends various unaffiliated investment advisers to manage your assets. Mr. Meynard does not receive fees for investment advisory services provided relative to these relationships.

**ITEM 11: *Code of Ethics, Participation or Interest in Client Transactions and Personal Trading***

We have adopted a Code of Ethics (“Code”) to address the securities-related conduct of our Associated Persons. The Code includes our policies and procedures developed to protect your interests in relation to the following:

- the duty at all times to place your interests ahead of ours;
- all personal securities transactions of our Associated Persons must be conducted in a manner consistent with the Code and avoid any actual or potential conflict of interest, or any abuse of our position of trust and responsibility;
- we may not take inappropriate advantage of our positions;
- information concerning the identity of your security holdings and financial circumstances are confidential; and
- independence in the investment decision-making process is paramount.

We will provide a copy of the Code to you or any prospective client upon request.

Our Associated Persons do not buy or sell the same securities for their personal and family accounts that are bought or sold for your account(s). Nonetheless, our Associated Persons must follow our procedures when purchasing or selling reportable securities.

**ITEM 12: Brokerage Practices**

We will not select or recommend broker-dealers for your securities transactions in relation to the management of your account. You should review each RIA's disclosure brochure for specific information on their brokerage practices.

*Research and Other Soft Dollar Benefits*

We do not receive any soft dollar benefits from any broker-dealer.

*Brokerage for Client Referrals*

We do not receive client referrals from broker-dealers in exchange for cash or other compensation, such as brokerage services or research.

*Block Trades*

We do not execute transactions on your behalf and, therefore, have no control over whether your trades are aggregated or not aggregated. If we have recommended an RIA to you, please review that RIA's disclosure brochure for specific information on whether they

aggregate the purchase or sale of securities for client accounts.

**ITEM 13: Review of Accounts**

We do not periodically review your accounts or provide periodic reports. Please review your RIA's disclosure brochure for specific information on the review of your accounts and reporting.

**ITEM 14: Client Referrals and Other Compensation**

We do not directly or indirectly compensate any person who is not one of our Associated Persons for client referrals.

**ITEM 15: Custody**

We do not have custody of any client funds or securities. If we have recommended an RIA to you, please review that RIA's disclosure brochure for specific information on whether they will have custody of your assets.

**ITEM 16: Investment Discretion**

We do not have discretion over your investment decisions. If we have recommended an RIA to you, please review that RIA's disclosure brochure for specific information on whether they provide discretionary or nondiscretionary services.

**ITEM 17: Voting Client Securities**

We do not vote proxies on your behalf. If we have recommended an RIA to you,

please review that RIA's disclosure brochure for specific information on their proxy voting policies.

**ITEM 18: Financial Information**

We have no financial commitment that impairs our ability to meet contractual and fiduciary commitments to you and we have not been the subject of a bankruptcy proceeding.

**ITEM 19: Requirements for State-Registered Advisers**

We are actively engaged in consulting with RIAs whose clients are institutional

investor entities, including municipal and other governmental entities, and provide them with marketing advice and guidance. We do not enter into written solicitor agreements with other RIAs to receive compensation for assisting institutional investor entities in selecting other registered investment advisers to manage their portfolios.

All other disclosure requirements are discussed either elsewhere in this brochure or the attached supplement thereto.

***James “Jim” R. Meynard***  
***Sagewood Investment Advisors, LLC***

***2615 Mars Hill Church Road***  
***Acworth, GA 30101***

***www.sagewoodinvestmentadvisors.com***

***678.742.7410***

***Part 2B of Form ADV: Brochure Supplement***

July 26, 2017

This brochure supplement provides information about James R. Meynard that supplements the Sagewood Investment Advisors, LLC brochure. You should have received a copy of that brochure. Please contact Mr. James R. Meynard, Managing Member, if you did not receive Sagewood Investment Advisors, LLC brochure or if you have any questions about the contents of this supplement.

Additional information about James R. Meynard is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) . Mr. Meynard’s CRD Number is 2947598.



## **ITEM 2: Educational Background and Business Experience**

James “Jim” R. Meynard

*Year of birth:* 1943

### *Formal education:*

- Chartered Financial Analyst - 1993
- Emory University – Goizueta Business School, MBA-General Business, 1989
- Georgia State University, BS-Mathematics, 1971

### *Business background:*

- Sagewood Investment Advisors, LLC – Managing Member, 2015-Present
- WP Global Partners – Senior Risk Manager, 2017-Present
- Financial Solutions, Inc. – Investment Advisor Representative, 2015-2016
- Self Employed – Independent Consultant, 2014-Present
- Georgia Firefighters’ Pension Fund – Executive Director, 2002-2014

### *Professional Designations*

The Chartered Financial Analyst (CFA) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

There are currently more than 107,000 CFA charter holders working in 135

countries. To earn the CFA charter, candidates must: 1) pass three sequential, six-hour examinations; 2) have at least four years of qualified professional investment experience; 3) join CFA Institute as members; and 4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

**High Ethical Standards** The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA charter holders to:

- Place their clients’ interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

**Global Recognition** Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today’s quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA charter holders—often making the charter a prerequisite for employment.

Additionally, regulatory bodies in 23 countries/territories recognize the CFA charter as a proxy for meeting certain licensing requirements, and more than 125 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

**Comprehensive and Current Knowledge**  
The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession. To learn more about the CFA charter, visit [www.cfainstitute.org](http://www.cfainstitute.org).

### ***ITEM 3: Disciplinary Information***

James R. Meynard has not been the subject of any legal or disciplinary event.

### ***ITEM 4: Other Business Activities***

Mr. Meynard is also employed as a Senior Risk Manager with WP Global Partners, a registered investment adviser. Mr. Meynard receives a fixed salary for client service and risk management activities in service of WP Global Partners.

### ***ITEM 5: Additional Compensation***

Please refer to the Other Business Activities section above for disclosures on Mr. Meynard's receipt of additional compensation as a result of his activities as a dually registered investment adviser representative.

### ***ITEM 6: Supervision***

Mr. Meynard is Managing Member and CCO of Sagewood Investment Advisors, LLC and is its ultimate supervisor. However, he is required to adhere to company processes and procedures as described in our firm's Code of Ethics and Compliance Manual.

### ***ITEM 7: Requirements for State-Registered Advisers***

James R. Meynard does not have, or has ever had, any reportable arbitration claims and has not been found liable in a reportable civil, self-regulatory organization or administrative proceeding. Mr. Meynard has not been the subject of a bankruptcy proceeding.