

## Item 1: Introduction

ROCHESTER WEALTH STRATEGIES, LLC is an investment adviser offering advisory accounts and services. Brokerage and investment advisory services and fees differ, and it is important that you understand the differences. This document gives you a summary of the types of services and fees we offer. Please visit [www.investor.gov/CRS](http://www.investor.gov/CRS) for free, simple tools to research firms and financial professionals, as well as educational materials about broker-dealers, investment advisers, and investing.

## Item 2: Relationships and Services

*Questions to ask us: 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?*

What investment services and advice can you provide me? Our firm primarily offers the following investment advisory services to retail clients: portfolio management (we review your portfolio, investment strategy, and investments), and financial planning which is included as part of our advisory fee. Regular monitoring of your account(s) is included as part of our standard investment management services, with reviews typically occurring at least annually. Our firm offers both discretionary advisory services (where our firm makes the decision regarding the purchase or sale of investments) as well as non-discretionary services (where the retail investor makes the ultimate decision). We do not limit the types of investments that we recommend. We offer an open-architecture investment platform. We typically require a minimum of \$500,000 to initiate a relationship for portfolio management and financial planning. Please also see our Form ADV Part 2A ([Brochure](#)), specifically Items 4 & 7.

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

*Questions to ask us: 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? How might your conflicts of interest affect me, and how will you address them?*

What fees will I pay? The amount of assets in your account affects our advisory fee; the more assets there are in your account(s), the more you will pay in fees, and we may therefore have an incentive to encourage you to increase the assets in your account(s). Our fees generally range from 0.50% to 1.50% per annum based on the assets under management (AUM) and are paid quarterly in advance. All accounts you have with us will be combined to qualify for the lowest rate regardless of the value of each individual account. This is in contrast to a tiered-rate fee schedule, which means you only receive the lower rate on a portion of your accounts. Our rates are flat, so you receive the lower rate on the entire value of your combined accounts. You pay our fees even if you do not have any transactions and the advisory fee paid to us generally does not vary based on the type of investments selected. Please also see Items 4, 5, 6, 7 & 8 of our [Brochure](#).

Some investments (e.g., ETFs, open-ended funds, closed-ended funds, alternative investments, etc.) impose additional fees (e.g., transactional fees and product-level fees) that reduce the value of your investment over time. The same goes for any additional fees you pay to a custodian, or transaction fees (if applicable), when we buy or sell an investment for your account. *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.* Please also see our [Brochure](#) for additional details.

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? *When we act as your investment adviser, 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 is an example to help you understand what this means: the more assets there are in your account(s), the more you will pay in fees, and the firm may therefore have an incentive to encourage you to increase the assets in your account.*

How do your financial professionals make money? Our financial professionals are compensated through a combination of salary and bonuses. Financial professionals' earnings are generally based on overall firm growth. They are not compensated based on the sale of a particular product and do not earn commissions. Please also see Item 10 of our [Brochure](#) for additional details.

#### Item 4: Disciplinary History

*Questions to ask us: As a financial professional, do you have any disciplinary history? For what type of conduct?*

Do you or your financial professionals have legal or disciplinary history? No, we do not have legal and disciplinary events. Visit <https://www.investor.gov/> for a free, simple search tool to research us and our financial professionals.

#### Item 5: Additional Information

*Questions to ask us: 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?*

For additional information on our advisory services, see our [Brochure](#) available at <https://adviserinfo.sec.gov/firm/summary/299150> and any individual brochure supplement your representative provides. If you have any questions, need additional information, or want another copy of this Client Relationship Summary, then please contact us at (248) 434-6550.