

# The Wellington Group

## Client Relationship Summary

March 14, 2025

### **Item 1: Introduction**

The Wellington Grp LLC d/b/a The Wellington Group ("Wellington") is an investment adviser registered with the Securities and Exchange Commission 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 Service**

**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); financial planning (we assess your financial situation and provide advice to meet your goals); solicitor/selection of other advisers (we select a third-party adviser for you to use). As part of our standard services, we typically monitor client accounts on an ongoing basis. 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. Our firm does *not* have a minimum account size. Please also see our Form ADV Part 2A ("Firm Brochure Firm Brochure (<https://adviserinfo.sec.gov/firm/brochure/332803>), specifically Items 4 & 7.

**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?*

### **Item 3: Fees, Cost, Conflicts, and Standards of Conduct**

**What fees will I pay?** Our fees vary depending on the services you receive. Additionally, the amount of assets in your account affects our advisory fee; the more assets you have in your advisory account, the more you will pay us and thus we have an incentive to increase those assets to increase our fee. Our fixed fee arrangements are based on the amount of work we expect to perform for you, so material changes in that amount of work will affect the advisory fee we quote you. We bill portfolio management fees quarterly unless agreed to otherwise. You will pay our fees even if you do not have any transactions and the advisory fee paid to us does not vary based on the type of investments selected. Please also see Items 4, 5, 6, 7 & 8 of our [Firm Brochure](#). Certain types of investments (e.g., mutual funds, variable annuities, 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. Additionally, you will pay 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 [Firm Brochure](#) for additional details.

**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?*

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**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 are some examples to help you understand what this means:*

- Through the sale of insurance and brokerage products, our financial professionals can receive commissions and therefore have an incentive to recommend products that provide them or us with additional compensation over those that do not. We may also be provided with a number of other benefits associated with the sale of commission-based products, and we encourage you to read Sections 4 and 10 of our [Firm Brochure](#) for more details.
- For AUM-based fees, the more assets you have in your advisory account, the more you will pay us and thus we have an incentive to increase those assets to increase our fee
- For fixed fees, the more work we expect to perform for you, the higher our fee would be and thus we have an incentive for you to agree to have us complete more work for you

**How do your financial professionals make money?** Primarily, we and our financial professionals receive cash compensation from the advisory services we provide to you because of the advisory fees we receive from you. This compensation may vary based on different factors, such as those listed above in this Item. Our financial professionals also can receive commissions from clients or indirectly through broker-dealers and insurance companies, and therefore have an incentive to recommend products that provide them or us with additional compensation over those that do not. Moreover, we receive compensation from third parties for recommending certain investments and thus have an incentive to recommend those investments over other choices. Please also see Item 10 of our [Firm Brochure](#) for additional details.

### **Item 4: Disciplinary History**

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

Yes. Visit <https://www.investor.gov/> for a free, simple search tool to research us and our financial professionals.

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

### **Item 5: Additional Information**

For additional information on our advisory services, see our [Firm Brochure](#) available at <http://adviserinfo.sec.gov> 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 317-846-5055 or by emailing us [info@twg-llc.com](mailto:info@twg-llc.com).

***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?***