

Part 2A of Form ADV: Firm Brochure

Equus Private Wealth Management, LLC

55 N. 4th Street, Carbondale, CO 81623

970-963-9254

www.equusprivatewealth.com

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CRD# 144367

This brochure provides information about the qualifications and business practices of Equus Private Wealth Management, LLC. If you have any questions about the contents of this brochure, please contact our Chief Compliance Officer, Matt Owings, at 970-963-5810 or matt@equusprivatewealth.com. 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.

Additional information about Equus Private Wealth is also available on the SEC's website at www.adviserinfo.sec.gov.

Equus Private Wealth Management, LLC is a SEC registered investment advisor. Registration with the SEC does not imply a certain level of skill or training.

Material Changes

This section outlines significant changes to the Equus Private Wealth Management, LLC Form ADV Part 2 since the last issuance in March 2021:

- Equus has expanded its advisory services to include an “equity and fixed income” allocation strategy utilizing index funds and ETFs to help clients with broader investment objectives.
- For new clients with the expanded equity and fixed income objectives, the minimum account size is \$1,000,000 versus the previous ‘fixed-income’ only offering with a minimum of \$5,000,000. These amounts remain negotiable depending on clients’ unique circumstances.

Table of Contents

Material Changes	2
ITEM 4: Advisory Business	4
ITEM 5: Fees and Compensation.....	4
ITEM 6: Performance-Based Fees	5
ITEM 7: Types of Clients.....	5
ITEM 8: Methods of Analysis, Investment Strategies, and Risk of Loss.....	5
ITEM 9: Disciplinary Information	7
ITEM 10: Other Financial Industry Activities and Affiliations	7
ITEM 11: Code of Ethics, Participation or Interest in Client Transactions and Personal Trading	7
ITEM 12: Brokerage Practices	9
ITEM 13: Review of Accounts.....	9
ITEM 14: Client Referrals and Other Compensation.....	10
ITEM 15: Custody	10
ITEM 16: Investment Discretion.....	10
ITEM 17: Voting Client Securities.....	11
ITEM 18: Financial Information.....	11
Form ADV: Part 2B Supplement.....	12

ITEM 4: Advisory Business

Equus Private Wealth Management, LLC is a fee-based investment advisor. Our principal office is in Carbondale, Colorado and we have been in business since 2007. Ron Speaker is the principal owner of the firm.

Equus provides continuous investment advisory services for individuals, households, and family offices. Our primary business is managing fixed-income portfolios with a specialty in municipal bonds. In addition, we offer broad asset allocation portfolio management services that includes diversified equity market exposure for clients based on the individual needs and risk tolerances of each client. We discuss overall account objectives related to income, capital preservation, and need for growth as well as time horizon, liquidity constraints, tax and/or estate issues and the clients' general thoughts on risk versus reward as it relates to their investments.

For fixed-income only portfolios, clients may impose restrictions on certain objective criteria including maturity preferences, asset class exposures, credit quality, state preferences, and types of securities (i.e. ETFs and/or individual bonds). Equus will manage the fixed income portfolio within these guidelines.

For a broad asset allocation strategy, Equus primarily invests in low cost, liquid ETFs that track large asset classes, indices, or sectors. Each allocation is based on the needs and objectives of each individual client.

As of March 2, 2022, Equus Private Wealth maintained \$179,300,000 of assets under management (AUM). We manage client portfolios on a discretionary basis. At times, clients may impose partial restrictions on their accounts limiting our discretionary capacity if circumstances warrant.

ITEM 5: Fees and Compensation

Equus is compensated by management fees charged at a fixed rate based on the assets under management. Our standard fee schedule is shown below:

Standard fee schedule:

ASSETS	FIXED RATE %
up to \$25,000,000	0.50%
\$25,000,001 to \$50,000,000	0.40%
\$50,000,001 & above	negotiable

Management fees are the only types of fees charged by Equus. Management fees are calculated each month based on the total value of assets under management (AUM), including accrued interest and/or balances held in cash and money market funds. Market value of municipal securities is provided by an independent third party chosen by the custodian. Equus will not charge a fee until the month that the account is at least 50% invested. If the account falls below 50% invested, the account is charged a fee for that month, but not in subsequent months until the account reaches the 50% invested position again. Assets under management for the period are calculated as an average balance.

$$\text{Average Assets Under Management Balance} = (\text{Previous Month's Balance} + \text{Current Month's Balance}) / 2$$

The monthly fee is then calculated using the following formula:

$$\text{Monthly Fee Calculation} = ((\text{Average AUM Balance} \times \text{Annual Management Fee} / \text{Days in Year})) \times \text{Days per Month}$$

Unique client circumstances may cause Equus to deviate from the standard schedules described above. Under certain limited circumstances, we may negotiate fees.

Although fees are calculated monthly, fees are invoiced quarterly in arrears. The invoice displays the management fee for each of the months within the quarter followed by a total fee amount for the quarter.

Clients have the option to pay their fee directly by check or allow Equus to deduct the management fee from their custodial account upon written approval. Clients may terminate their relationship with Equus at any time. In the event of termination, fees will be calculated pro-rata based on the number of days of service provided in the final month.

In addition to the Equus management fee, clients are also subject to custody fees, transaction-based fees, and product-level fees (i.e. load charges and expenses associated with mutual funds and ETFs). These fees are typically embedded in the price of the index fund or ETF and reduce the performance of the fund. Please see Item 12 for additional information of brokerage related expenses.

Clients have the option to purchase investment products that Equus recommends through other brokerage firms or agents not affiliated with Equus. However, you would not receive the services provided by Equus including decisions made related to allocations, trading, objectives, investment guidelines and performance reviews.

Equus Private Wealth Management, LLC. does not receive any compensation from third parties when purchasing or selling securities on behalf of our clients.

ITEM 6: Performance-Based Fees

Equus Private Wealth Management, LLC. does not participate in any form of performance-based compensation structure such as compensation based on a share of capital gains or capital appreciation of client assets.

ITEM 7: Types of Clients

Clients of Equus Private Wealth Management, LLC are typically high-net-worth individuals or households. Accounts are typically structured as individual, joint, LLCs, partnerships, or trusts. Frequently, Equus works with family offices or other advisory firms in a sub-advisory role to provide services to the end client.

For fixed-income portfolios, a minimum opening balance of \$5,000,000 is required for new clients. Households with multiple accounts can combine to meet the required minimum. For the broader asset allocation client, a minimum of \$1,000,000 is required. These amounts are negotiable.

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

When managing fixed income portfolios, our strategy incorporates our fundamental dedication to due diligence which includes personal inspections of operations, interviews with management, and in-depth modeling analysis. We utilize local, regional, national, and online brokerage platforms to access the municipal bond market. Our research process varies depending on the required due diligence of the investment. Below is a list of potential research activities for each issuer:

- Analyzing current economic conditions at the national, state, and local level.
- Considering the industry related to the bond and issuer's position within the industry.
- Structure evaluation (coupon, duration, maturity, etc.)
- Creating a financial model of the issuer.
- Meeting face to face with the management of the issuer.

- Visiting the project.
- External resources.
- Monitoring trading activity (Bloomberg, EMMA).
- Tracking state and local budgets and financial disclosures (EMMA, google alerts).
- Ongoing credit surveillance (EMMA, google alerts, news flow, etc.)

Equus Private Wealth Management’s strategy when providing investment advisory services to a client with a broader asset allocation objective focuses on long-term oriented investments in conjunction with an appropriate level of diversification across multiple asset classes. Equus does not expect to attempt to predict short-term market movements. Additionally, Equus adjusts exposures using ‘tilts’ towards investment themes (factors) that either have a history of outperformance or are outperforming in the current environment and have attractive risk/reward attributes. These may include, but are not limited to, value, growth, high beta, minimum volatility, momentum, quality and/or size.

Equus will primarily utilize broad index-based, low cost, liquid ETFs to gain exposure to various asset classes including domestic equity, developed and emerging equity of various capitalization structures and factor tilts. For fixed income exposures, we expect to utilize ETFs that represent specific fixed income asset classes such as US treasuries, municipal bonds, corporate bonds, bank loans, EM debt and preferred stocks. Depending on the clients’ unique circumstances and overall size of the portfolio, Equus may incorporate individual securities to complement the index-based products described above. Equus does not anticipate investment in individual equities unless the client specifically requests such exposures.

Risk of Loss

As with any investment in securities, a risk of loss exists. Clients must understand that past performance is not indicative of future results. Therefore, clients must never assume that future performance of any specific investment will be profitable. Prior to investing, clients must be prepared to bear any losses.

Due to the inherent risk of investing, Equus cannot represent, guarantee, or even imply that our services and/or methods can or will predict future results or insulate client portfolios from losses because of market corrections.

Risks Associated with Fixed-Income Investing

Risks associated with investing in bonds include:

- *Interest Rate Risk* – When the yield on a bond rises, the price of that bond declines.
- *Call Risk* – The risk that the issuer repays the bond earlier than its stated maturity date exposing the investor to reinvestment rate risk.
- *Reinvestment Rate Risk* – The risk of being forced to reinvest coupon cash flow or maturing bonds at lower yields reducing future income return. This risk is more apparent in declining interest rate environments.
- *Liquidity Risk* – This relates to the timing of converting a bond holding into cash. Higher-yielding, lower-rated, non-rated, or certain bond restrictions (minimum denomination requirements) limit or reduce the liquidity of bond holdings.
- *Default Risk* – This risk involves the probability of an issuer failing to make a required bond interest or principal payments or both.
- *Credit Ratings Risk* – The risk that a rating agency downgrades the bond could negatively affect the price of the bond.

- *Legislative Risk* – If marginal income-tax rates decrease, the tax-exempt benefit of a municipal bond would also decrease. Additionally, a change in the tax benefit of owning municipal bonds either by eliminating the benefit altogether or limiting the tax exemption to a certain amount would have negative consequences.

General Market Risks:

- *Equity market risk* – Equities are subject to stock market fluctuations and volatility as market conditions change over time. Equities are generally more volatile than preferred stocks or fixed income asset classes.
- *Exchange Trade Fund Risk* – Clients must be prepared to pay additional expenses related to ETF securities based on their pro rata share of the ETF shares. The risks of owning an ETF generally reflect the risk of the ETF's underlying assets that the ETF holds. Clients will also incur brokerage fees when purchasing or selling ETF securities.
- *Tax Harvesting Risk* – At times, Equus will sell an ETF or individual security at a taxable loss and replace that security with a holding whose historical performance and expected future performance is similar, thereby having little impact on the overall portfolio allocation, but capturing the tax loss. Because past performance has no indication of future results, there is potential for the future performance of the new holding to deviate from the original holding. This strategy may also increase the frequency of trading in the account and amount of transaction-related expenses.

ITEM 9: Disciplinary Information

There are no legal or disciplinary events outstanding that relate to Equus Private Wealth Management, LLC or any employee of Equus Private Wealth Management, LLC.

In January 1993, while employed by Janus Capital, the SEC found that Mr. Speaker made two personal trades without disclosing the trade or obtaining prior consent. Janus was found to have failed to reasonably supervise Mr. Speaker. The regulatory action was settled on January 13, 1997 and resulted in a total fee of \$62,199. Mr. Speaker was responsible for paying \$37,199, while Janus Capital paid the remaining \$25,000. In accordance with the settlement, Janus Capital and Mr. Speaker neither admitted nor denied the allegation.

ITEM 10: Other Financial Industry Activities and Affiliations

Equus Private Wealth Management, LLC does not engage in any other financial industry activities beyond the services described in this document, nor does Equus Private Wealth Management, LLC maintain any affiliations with any other financial industry company.

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

Equus Code of Ethics Summary

This code establishes rules of conduct for all employees of Equus Private Wealth Management, LLC and is designed to, among other things; govern personal securities trading activities in the accounts of employees, their immediate family/household accounts, and accounts in which the employee has a beneficial interest.

Within the bounds of its Code of Ethics, the Adviser has no obligation to provide a particular client with any particular investment opportunity or to refrain from taking advantage of an investment opportunity that could be beneficial to the account of another client or its own account.

At times, the Adviser may buy or sell the same security at the same time for some clients but not others, or for its own account, or for some, but not other, clients. At times, the Adviser may buy or sell securities in some accounts but not others because of differences in substance, timing and amount, due to investment objectives or other factors affecting the appropriateness or suitability of particular investment activities to the accounts or to limitations on the availability of particular investment or transactional opportunities.

Equus has a duty to exercise its authority and responsibility for the benefit of its clients, to place the interests of its clients first, and to refrain from having outside interests that conflict with the interests of its clients. This Code of Ethics (“the Code”) has been adopted by Equus as investment adviser to its clients pursuant to Rule 204A-1 under the Advisers Act. The Code applies to all Equus supervised persons (the “Supervised Persons”), and in some cases, particularly to Equus’s “access persons.” The Chief Compliance Officer (CCO) administers the Code. Equus will provide a copy of its code to any client or prospective client upon request.

Participation or Interest in Client Transactions and Personal Trading

Employees may trade in securities for their own accounts that are similar to and sometimes the same as securities in client accounts. In addition, employees may have existing positions that are also held by clients.

This creates a potential conflict of interest as employees could have an incentive (to the extent possible) to manipulate the timing of such purchases or sales to obtain a better price for themselves. Additionally, when purchasing individual fixed income securities such as municipal bonds, employees may be incentivized to receive a better allocation potentially disadvantaging the client account.

To mitigate these potential conflicts of interest and ensure the fulfillment of our fiduciary duty we require pre-clearance for certain types of securities transactions.

Securities that require pre-approval: our firm will grant permission only if we determine that clients will not be disadvantaged by the employee’s transaction.

- Individual fixed income securities (corporate bonds, municipal bonds and preferred stocks)
- Any initial public offering
- Any private or limited offering

Equus does not require pre-approval of trades for other securities because the types of securities we hold in discretionary accounts are very liquid and widely traded (exchange traded index funds).

No employee is permitted to trade in securities in which they may possess material inside information.

Block Trades:

The Adviser allocates transactions and opportunities among the various accounts it manages in a manner it believes to be as equitable as possible, considering each account’s objectives, programs, limitations and capital available for investment. However, all accounts may not necessarily invest in the same securities, including the Adviser buying and selling for its own account. When allocating trades that involve employee participation, Equus will always place client interests ahead of employee interests.

For less liquid and less frequently traded securities (i.e. municipal bonds), Equus utilizes a rotation-based methodology that incorporates historical pro-rata allocations. Accounts that have participated in fewer trades as a percentage of their

account size over certain periods are given the highest priority. Clients also have different minimum positions sizes based on the size of their account. We also test and monitor our allocation system to ensure fairness to clients.

We have developed policies and procedures under our Code of Ethics that require our employees to submit their personal security holdings and transactions to our Firm on a quarterly basis. This is done so we can monitor their investments to ensure compliance with our Code of Ethics and our general fiduciary duty to clients.

ITEM 12: Brokerage Practices

Equus is independently owned and operated and is not affiliated with any broker-dealer. Equus does not maintain any soft dollar arrangements with any of the brokers it utilizes when executing client trades. Equus does obtain a limited amount of general industry research materials from brokers, but it is not in exchange for directing business to specific brokers.

Even though you have a custody relationship with a qualified custody bank, we anticipate that most trades will be executed by other brokerage firms. When purchasing and selling securities on behalf of our clients, Equus uses multiple brokerages including online brokerage platforms. Equus does not receive any compensation from brokers. All brokerage decisions are based strictly on obtaining the most favorable trading execution for our clients. A list of brokers used to purchase and sell securities will be made available upon request. Factors considered are access to products, trade execution issues, overall knowledge of the market including specific credits, quality of service, competitiveness of pricing, reputation, financial strength, and security.

A broker is compensated by charging commissions or other fees on trades that it executes. Our recommended custodian is Charles Schwab and we may transact through Schwab either as a broker or through a Prime Brokerage relationship. Schwab charges a flat dollar amount per trade as a "Prime Broker" or "Trade Away" fee for trades executed at another brokerage firm.

Equus does not allow clients to choose their own broker-dealers or limit the number of broker-dealers from whom we purchase bonds. Equus does not receive client referrals from brokerage firms.

In cases when we need to implement buys and sells of the same security for numerous accounts, we may elect to purchase or sell such securities at approximately the same time as a block trade. This process is used by Equus when we believe it is advantageous to clients. If and when we aggregate orders, it is done in a fair and equitable way across multiple client accounts in order to avoid different prices and transaction costs that might be obtained when orders are placed independently. Our allocation procedures are described in Item 11: Block Trades. Neither we, nor our employees receive any compensation as a result of block trades.

ITEM 13: Review of Accounts

Equus periodically reviews client portfolios. The process of reviewing client accounts is part of the weekly and monthly operational activities including portfolio review, account reconciliation, trade allocation, statement preparation, and compliance activities. The following employees are responsible for client account reviews:

- Ron Speaker, CEO
- Matthew Owings, CCO
- John Sellman, Associate

On a weekly basis, or as often as necessary, all accounts are reviewed for consistency with the client's investment strategy, asset allocation, and unique objective parameters. More frequent reviews may be triggered by changes in a client's financial situation, state of residence or material geopolitical or macroeconomic events.

Equus produces client statements each month. The statements are designed to allow clients to view the status of their account in summary on the first page and obtain details on the following pages. The summary information includes account balances and performance. The detailed information includes overall holdings, trades, maturities, and other portfolio analytics. Monthly reports are reviewed by at least two Equus team members.

The client also receives monthly statements and trade confirmations from their custodian/broker-dealer.

In addition to monthly reports, Equus offers a secure client portal creating convenient access to their portfolio holdings.

ITEM 14: Client Referrals and Other Compensation

Equus Private Wealth Management, LLC does not engage any outside sales personnel, nor does Equus refer its clients to other service providers in exchange for a commission or other monetary benefit.

ITEM 15: Custody

Custody is defined as any legal or actual ability by our firm to access client funds or securities. All client funds are held in a custody account with a qualified custodian. Equus does not take possession of client assets. However, under current SEC rules, Equus is deemed to have constructive custody of client assets solely due to our ability to deduct management fees in arrears directly from client accounts. Equus has defined a process of requiring approval from the customer prior to management fees being deducted from the client's account.

Our firm recommends Charles Schwab as a custodian. We receive an economic benefit from Schwab in the form of support products and services it makes available to us and other independent investment advisers whose clients maintain their accounts at Schwab. You do not pay more for assets maintained at Schwab as a result of these arrangements.

Clients will receive account statements at least quarterly from their custody bank. They will be sent to the email or postal mailing address you provided or are available on the custodian's website log-in portal. We urge our clients to compare the statements produced by Equus with the statement prepared by the qualified custodian. Balances and positions should reconcile unless a trade is outstanding between the month-end reporting cycles.

Should you notice any discrepancies, please notify us and the custodian as soon as possible.

ITEM 16: Investment Discretion

As defined in the investment advisory agreement, Equus Private Wealth Management, LLC is provided by its clients the discretion and consent to buy and sell securities of any dollar amount as long as the client's investment objectives are honored. Equus maintains full discretion in terms of brokers or dealers used in the transactions as well as commissions that are paid to the brokers or dealers.

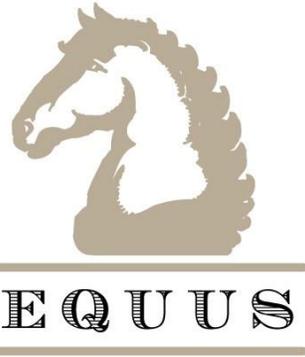
The full discretionary trading authorization maintained by Equus is limited to trading only. Equus does not maintain actual access to client funds. Clients must execute the 'Full Discretionary Trading Authorization' form prior to Equus assuming the authority to execute trades.

ITEM 17: Voting Client Securities

Advisory clients generally elect to delegate their proxy voting authority to us. Alternatively, clients may choose to receive proxies for their own accounts. For the few occasions where a vote is required, Equus has adopted procedures to review the proxy or corporate action and determine the best solution for our clients consistent with serving our clients in a fiduciary capacity. Clients may obtain a copy of our firm's proxy voting policies and voting history. If we have a conflict of interest, we will disclose it to our clients. Please note that index funds and ETFs require the index fund provider (iShares, Vanguard, etc.) to vote proxies. Since Equus primarily uses ETFs and index funds, we rarely vote any proxies.

ITEM 18: Financial Information

Equus does not require its clients to pay for services in advance and, therefore, is not required to include our firm's balance sheet with this brochure. Equus has no financial impairments that would preclude the firm from meeting contractual commitments to clients nor has Equus or its principals ever been the subject of a bankruptcy petition.



Form ADV Part 2B: Brochure Supplement

Equus Private Wealth Management, LLC

55 North 4th Street, Carbondale, CO 81623

(970) 963-9254

www.equusprivatewealth.com

Supervised Persons:

Ronald V. Speaker, Founder & CEO

Matthew A. Owings, Partner & CCO

Scott D. Hanley

John T. Sellman

This brochure supplement provides information about our firm's supervised persons, listed above, and supplements the Equus Private Wealth Management (Equus) brochure. You should have received a copy of that brochure. Please contact us at (970) 963-9254 if you did not receive Equus's brochure or if you have any questions about the contents of this supplement.

Additional information about Equus is available at the SEC's website at <https://adviserinfo.sec.gov/>

Ron Speaker – CRD# 2660164

970-963-9254

www.equusprivatewealth.com

Educational Background and Business Experience

Ronald V. Speaker was born in 1964 and is a graduate of the University of Colorado with a degree in Business Administration with a major in Finance. Prior to starting Equus in 2007, Mr. Speaker spent twenty-one years with Janus Capital Group. He served in several roles but was primarily the portfolio manager of the Janus Flexible Bond Fund and manager of individual private accounts focused on fixed income securities. Mr. Speaker had previously managed the Janus Federal Tax-Exempt fund, the Janus High-Yield fund, Janus Intermediate Government Securities fund, Janus Short-Term Bond fund and Western Reserve Life Bond fund.

Ron Speaker is a CFA Charterholder and is a member of CFA Society Colorado. The CFA designation is offered to those who have completed the CFA® Program and completed the appropriate work experience. It is a three-part exam that tests the fundamentals of investment tools, valuing assets, portfolio management, and wealth planning.

Disciplinary Information

There are currently no legal or disciplinary actions outstanding related to Ron Speaker.

In January 1993, while employed by Janus Capital, the SEC found that Mr. Speaker made two personal trades without disclosing the trade or obtaining prior consent. Janus was found to have failed to reasonably supervise Mr. Speaker. The regulatory action was settled on January 13, 1997 and resulted in a total fee of \$62,199. Mr. Speaker was responsible for paying \$37,199, while Janus Capital paid the remaining \$25,000. In accordance with the settlement, Janus Capital and Mr. Speaker neither admitted nor denied the allegation.

More information can be found on FINRA's BrokerCheck system or the IAPD. The BrokerCheck link is <https://brokercheck.finra.org/>; the IAPD link is <https://adviserinfo.sec.gov/>.

Other Business Activity

Ron Speaker is an executor of an estate. The estate is not an advisory client of Equus and poses no conflict of interest.

Additional Compensation

Ron Speaker is compensated at an hourly rate based on his involvement with estate noted above.

Supervision

Ron Speaker's activities, including providing advice to clients, are supervised by Chief Compliance Officer Matt Owings. Matt Owings can be reached at 970-963-5810.

Matthew Owings – CRD# 5632831

970-963-5810

www.equusprivatewealth.com

Educational Background and Business Experience

Matthew Owings was born in 1985 and has been with Equus since February 2008. He is a graduate of the University of Kansas with a degree in Finance. Mr. Owings has held multiple roles in his 10+ years with Equus including credit analyst, trader, portfolio manager, business development and Chief Compliance Officer.

Matthew is a CFA charterholder and a member of the CFA Society Colorado. The CFA designation is offered to those who have completed the CFA® Program and completed the appropriate work experience. It is a three-part exam that tests the fundamentals of investment tools, valuing assets, portfolio management, and wealth planning.

Disciplinary Information

There are currently no legal or disciplinary actions outstanding related to Matthew Owings.

Other Business Activity

Matt Owings is not involved in any other business activities beyond his involvement with Equus Private Wealth Management, LLC.

Additional Compensation

Matthew Owings does not receive any compensation from sources outside of Equus Private Wealth Management, LLC.

Supervision

Matthew Owings' activities, including providing advice to clients and his role as Chief Compliance Officer, are supervised by Chief Executive Officer, Ron Speaker. Ron Speaker can be reached at 970-963-9254.

John Sellman- CRD# 6353493

www.equusprivatewealth.com

Educational Background and Business Experience

Mr. Sellman received his bachelor's degree in Finance and Economics from Temple University in Philadelphia, Pennsylvania. He had previously interned with Lockwood Advisors, The Federal Reserve Bank of Philadelphia, Bank of New York Mellon, and JP Morgan Private Bank. Year of birth: 1994.

John is a Level III Candidate in the CFA Program. The CFA designation is offered to those who have completed the CFA® Program and completed the appropriate work experience. It is a three-part exam that tests the fundamentals of investment tools, valuing assets, portfolio management, and wealth planning.

Disciplinary Information

There are currently no legal or disciplinary actions outstanding related to John Sellman.

Other Business Activity

John Sellman is not involved in any other business activities beyond his involvement with Equus Private Wealth Management, LLC.

Additional Compensation

John Sellman does not receive any compensation from sources outside of Equus Private Wealth Management, LLC.

Supervision

John Sellman's activities are supervised by Chief Executive Officer, Ron Speaker. Ron Speaker can be reached at 970-963-9254.