

Introduction

Our firm, WealthPLAN Investment Management LLC, is an investment adviser registered with the Securities and Exchange Commission. We feel that it is important for you to understand how advisory and brokerage services and fees differ in order to determine which type of account is right for you. There are free and simple tools available to research firms and financial professionals at www.investor.gov/CRS, which also provides educational materials about investment advisers, broker-dealers, and investing.

What investment services and advice can you provide me?

We are a registered investment adviser that offers investment advisory services, including Asset Management, Institutional Intelligent Portfolios[®] and Financial Planning and Consulting to clients. When you open an advisory account, we'll assess your financial situation, objectives, and risk tolerance. For ongoing asset management services, we recommend and monitor your portfolio at least annually, rebalance as needed, and contact you annually to review. You can select in our agreement whether we are allowed to buy and sell investments in your account without asking you in advance ("discretion") or only after receiving your permission ("non-discretion"). If you select non-discretion, you make the ultimate decision regarding the purchase or sale of investments. Any limitations will be described in the signed advisory agreement. For investment advisory accounts, we will have discretion or non-discretion, as elected in your advisory agreement, until the agreement is terminated.

Financial Planning & Consulting is also offered as a separate service for a flat or hourly fee. We do not monitor your investments for the Financial Planning & Consulting service.

We do not restrict our advice to limited types of products or investments, nor do we impose requirements for opening and maintaining accounts or otherwise engaging us.

What investment risks should I be aware of?

Additional information about our advisory services is in Item 4 of our Firm Brochure, which is available online at <https://adviserinfo.sec.gov/firm/summary/311364>

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 those qualifications mean?

What fees will I pay?

You will be charged an ongoing quarterly or monthly fee based on the value of the assets in your account. Our maximum annual fee for Asset Management and Institutional Intelligent Portfolios[®] services is 2.5%. As the dollar value of your portfolio increases, the total dollar amount of management fees paid to our firm will generally increase. We therefore have an incentive to work towards growing the value of your advisory accounts, as it will also increase our fees.

Our fees vary and are negotiable. The amount you pay will depend, for example, on the services you receive and the amount of assets in your account. Our firm's fees will be automatically deducted from your advisory account, which will reduce the value of your advisory account. In rare cases, we will agree to send you invoices rather than automatically deduct our firm's fees from your advisory account.

Our maximum flat fee is \$5,000 and our maximum hourly rate is \$300 for our Financial Planning & Consulting service. The fee-paying arrangement is generally determined at the time the contract is signed.

You may also pay custodian, transaction, fund, or product fees (such as surrender charges), which reduce your returns. In certain cases, we select third party money managers, sub-advisers, and/or separate account managers to assist us with managing your account. If selected, they may charge a fee, which will be described in their Form ADV and/or agreement. If you participate in the SyntheticFi options overlay program, you may pay additional structuring or platform fees, which will be disclosed to you in writing prior to participation. These fees are separate from our standard advisory fees. 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.

Additional information about our fees is in Item 5 of our Firm Brochure, which is available online at <https://adviserinfo.sec.gov/firm/summary/311364>.

Questions to Ask Us:

- Help me understand how these fees and costs may 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?

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 must 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:

WealthPLAN Investment Management is under common ownership with WealthPLAN Partners, LLC, an SEC-registered investment adviser. When clients of WealthPLAN Partners are referred to WealthPLAN Investment Management, this creates a conflict of interest because the affiliated firms have a financial incentive to recommend each other's services. Clients are not required to engage WealthPLAN Investment Management and must provide informed written consent before doing so.

Our firm's financial professionals include licensed insurance agents who sell insurance products for a commission. They have an incentive to recommend insurance products to you to increase their compensation.

Additional information about our conflicts of interest is in Item 10 of our Firm Brochure, which is available online at <https://adviserinfo.sec.gov/firm/summary/311364>.

Questions to Ask Us:

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

How do your financial professionals make money?

Our financial professionals are compensated based on the revenue our firm earns from their advisory services or recommendations, the amount of client assets they service, and the time and complexity required to meet a client's needs.

If you participate in the SyntheticFi options overlay program, you may pay additional structuring or platform fees, which will be disclosed to you in writing prior to participation. These fees are separate from our standard advisory fees.

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

No, our firm does not have a disciplinary history. Some of our financial professionals may have disciplinary history. Visit Investor.gov/CRS for a free and simple search tool to research our firm and our financial professionals.

Questions to Ask Us:

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

Additional Information

You can find additional information about our firm's investment advisory services on the SEC's website at www.adviserinfo.sec.gov by searching CRD #311364. You may also contact our firm at (402) 691-0200 to request a copy of this relationship summary and other up-to-date 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?