Item 1 Cover Page

# DISCLOSURE BROCHURE

FORM ADV PART 2A

# New Horizon Wealth Management, LLC

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This brochure provides information about the qualifications and business practices of New Horizon Wealth Management, LLC. Being registered as an investment adviser does not imply a certain level of skill or training. If you have any questions about the contents of this brochure, please contact us at 330-499-1915. The information in this brochure has not been approved or verified by the United States Securities and Exchange Commission, or by any state securities authority.

**ADDITIONAL INFORMATION ABOUT NEW HORIZON WEALTH MANAGEMENT, LLC (CRD #342187) IS AVAILABLE ON THE SEC'S WEBSITE AT WWW.ADVISERINFO.SEC.GOV**

## Item 2: Material Changes

### Annual Update

The Material Changes section of this brochure will be updated annually or when material changes occur since the previous release of the Firm Brochure.

### Material Changes since the Last Update

Since the last filing of this brochure on August 7, 2026, the following changes have been made:

- Item 5 has been updated to include billing information for Seminars and Workshops.

### Full Brochure Available

This Firm Brochure being delivered is the complete brochure for the Firm.

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## Item 4: Advisory Business

### Firm Description

New Horizon Wealth Management, LLC ("NHWM") was founded in 2026. Robert D. Foutty and Carrie L. Foutty are co-owners. Robert W. Foutty is the Chief Compliance Officer.

### Types of Advisory Services

ASSET MANAGEMENT

NHWM offers discretionary asset management services to advisory Clients. NHWM will offer Clients ongoing asset management services through determining individual investment goals, time horizons, objectives, and risk tolerance. Investment strategies, investment selection, asset allocation, portfolio monitoring and the overall investment program will be based on the above factors. The Client will authorize NHWM discretionary authority to execute selected investment program transactions as stated within the Investment Advisory Agreement.

When deemed appropriate for the Client, NHWM may hire Sub-Advisors to manage all or a portion of the assets in the Client account. NHWM has full discretion to hire and fire Sub-Advisors as we deem suitable. Sub-Advisors will maintain the models or investment strategies agreed upon between Sub-Advisor and NHWM. Sub-Advisors execute trades on behalf of NHWM in Client accounts. NHWM will be responsible for the overall direct relationship with the Client. NHWM retains the authority to terminate the Sub-Advisor relationship at NHWM's discretion.

As part of the recommendations provided, the Client may have a financial plan completed. This may include but is not limited to a thorough review of all applicable topics such as Wills, Estate Plans and Trusts, Investments, Taxes, Qualified Plans, Insurance, Retirement Income, Social Security, and College Planning. If a conflict of interest exists between the interests of NHWM and the interests of the Client, the Client is under no obligation to act upon NHWM's recommendation. If the Client elects to act on any of the recommendations, the Client is under no obligation to effect the transaction through NHWM. This service will be provided at no additional cost to the Client.

QUALIFIED PLAN ENROLLMENT/EDUCATION SERVICES

These services are based on the goals, objectives, demographics, time horizon, and/or risk tolerance of the plan and its participants.

NHWM will provide qualified plans with the following services:

- Provide non-discretionary investment advice to the Client about asset classes and investment alternatives available for the Plan in accordance with the Plan's investment policies and objectives. Investment options, retention, removal, addition of investment options and all other investment review duties will be assigned to an unaffiliated asset manager.
- Assist the Client in the reviewing and understanding of the investment policy statement ("IPS"). The IPS establishes the investment policies and objectives for the Plan, provided by the asset manager. Client shall have the ultimate responsibility to ensure the asset manager continues to follow the IPS and provides the appropriate reports and investment reviews demonstrating that the policies and objectives outlined in the IPS are being followed.

- Educate the Plan Sponsor with respect to the asset manager's selection of a qualified default investment alternative for participants who are automatically enrolled in the Plan or who have otherwise failed to make investment elections. The Client retains the sole responsibility to provide all notices to the Plan participants.
- Assist the Plan Sponsor in monitoring investment options by reviewing the periodic asset manager's investment reports that document investment performance, consistency of fund management and conformance to the guidelines set forth in the IPS, along with the asset manager's recommendations to maintain, remove or replace investment options.
- Meet with Client on a periodic basis to discuss the reports and the investment recommendations provided by the asset manager.
- Assist in the education of Plan participants about general investment information and the investment alternatives available to them under the Plan. NHWM will not provide investment advice concerning the prudence of any investment option or combination of investment options for a particular participant or beneficiary under the Plan under this agreement. Any specific recommendations to participants will be under a separate agreement between the participant and NHWM.
- Assist in the participant enrollments as needed, in order to increase retirement plan participation among the employees and investment and financial understanding by the employees.
- Meet with the asset manager periodically to understand their policies, procedures, objectives, processing and assist the Plan Sponsor in understanding those policies, procedures, etc. NHWM may provide these services or, alternatively, may arrange for the Plan's other providers to offer these services, as agreed upon between NHWM and Client.

NHWM has no responsibility to provide services related to the following types of assets ("Excluded Assets"):

1. Employer securities;
2. Real estate (except for real estate funds or publicly traded REITs);
3. Stock brokerage accounts or mutual fund windows;
4. Participant loans;
5. Non-publicly traded partnership interests;
6. Other non-publicly traded securities or property (other than collective trusts and similar vehicles); or
7. Other hard-to-value or illiquid securities or property.

Excluded Assets will **not** be included in the calculation of Fees paid to NHWM under this Agreement.

When providing any administrative or educational services, NHWM supports the Sponsor with, among other things, plan governance and committee education; vendor management and service provider selection and review; investment education; or provide plan participant nonfiduciary education services. NHWM agrees to perform any administrative services solely in a capacity that would not be considered a fiduciary under ERISA or any other applicable law.

SEMINARS AND WORKSHOPS

NHWM holds seminars and workshops to educate the public on different types of investments and the different services they offer. The seminars are educational in nature and no specific investment or tax advice is given.

### Client Tailored Services and Client Imposed Restrictions

The goals and objectives for each Client are documented in our Client files. Investment strategies are created that reflect the stated goals and objectives. Clients may impose restrictions on investing in certain securities or types of securities.

Agreements may not be assigned without written Client consent.

### Wrap Fee Programs

NHWM does not sponsor any wrap fee programs.

### Client Assets Under Management

NHWM has the following Client assets under management:

| Discretionary Amounts: | Non-discretionary Amounts: | Date Calculated: |
|---|---|---|
| $0 | $0 | June 10, 2026 |

## Item 5: Fees and Compensation

### Method of Compensation and Fee Schedule

ASSET MANAGEMENT

NHWM offers discretionary direct asset management services to advisory Clients. NHWM charges an annual investment advisory fee of 2% based on the total assets under management.

The annual fee is negotiable based upon certain criteria (e.g., historical relationship, type of assets, anticipated future earning capacity, anticipated future additional assets, dollar amounts of assets to be managed, related accounts, account composition, negotiations with Clients, etc.). NHWM considers cash to be an asset class, and as such is included in fee calculations. Also, to be noted, at times fees will exceed the money market yield. Fees are billed monthly in arrears based on an average daily balance of the account for the previous month. The calculation for the average daily balance is based on the formula (Average daily balance x Fee)/ (# of days in a year x # of invested days in a month).

***For example:***

Average daily balance = $100,000
Client fee = 1.3%
Days invested in month = 26

($100,000 x 1.3%)/(365 x 26) = $92.60 NHWM may also utilize the services of a Sub-Advisor to manage Clients' investment portfolios by executing a Sub-Advisor agreement with other registered investment advisor firms. When using Sub-Advisors, the Client will not pay additional fees. The Sub-Advisors fees are inclusive of the total fee disclosed by NHWM.

All fees will be calculated and billed by AE Wealth Management, LLC. Lower fees for comparable services may be available from other sources. Clients may terminate their account within five (5) business days of signing the Investment Advisory Agreement with no obligation and without penalty. After the initial five (5) business days, the agreement may be terminated by NHWM with thirty (30) days written notice to Client and by the Client at any time with written notice to NHWM.

For accounts opened or closed mid-billing period, fees will be prorated based on the days services are provided during the given period. All unpaid earned fees will be due to NHWM. Client shall be given thirty (30) days prior written notice of any increase in fees. Any increase in fees will be acknowledged in writing by both parties before any increase in said fees occurs.

Financial planning services will be provided at no additional cost to the Client.

QUALIFIED PLAN ENROLLMENT/EDUCATION SERVICES
NHWM charges up to $5,000 annually for qualified plan enrollment/education services. These fees are billed annually in arrears. The employer will pay these fees via check to NHWM.

SEMINARS AND WORKSHOPS
NHWM holds seminars and workshops to educate the public on different types of investments and the different services they offer. NHWM charges up to $99 per person for their two night educational course. However, all other seminars are educational in nature and no specific investment or tax advice is given. Fees will be collected in advance or at the door for late registrations. If Client cancels prior to the event, a refund will be provided via check to the Client.

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**Client Payment of Fees**

Fees for asset management services are deducted from a designated Client account. The Client must consent in advance to direct debiting of their investment account.

Fees for Qualified Plan Enrollment Education Services will be paid by the employer via Check – to be remitted to NHWM.

Fees for Seminars and Workshops:

- Check – to be remitted by Client to NHWM
- Electronic Payment via ACH, Debit Card, or Credit Card (fees will be paid via a third party payment processor in which the client will securely input payment information and pay the advisory fee through a secure portal. NHWM will not have continuous access to the Client's banking information.)

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**Additional Client Fees Charged**

Custodians may charge transaction fees and other related costs on the purchases or sales of mutual funds, equities, bonds, options and exchange-traded funds. Mutual funds, money market funds and exchange-traded funds also charge internal management fees, which are disclosed in the fund's prospectus. NHWM does not receive any compensation from these fees. All of these fees are in addition to the management fee you pay to NHWM. For more details on the brokerage practices, see Item 12 of this brochure.

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**Prepayment of Client Fees**

NHWM does not require any prepayment of fees of more than $500 per Client and six months or more in advance.

Fees for seminars and workshops will be collected in advance or at the door for late registrations.

If the Client cancels after five (5) business days, any unearned fees will be refunded to the Client, or any unpaid earned fees will be due to ABC.

### External Compensation for the Sale of Securities to Clients

Investment Advisor Representatives of NHWM receive external compensation from sales of investment related products such as insurance as licensed insurance agents. This represents a conflict of interest because it gives an incentive to recommend products based on the commission received. This conflict is mitigated by disclosures, procedures, and NHWM's fiduciary obligation to place the best interest of the Client first and Clients are not required to purchase any products or services. Clients have the option to purchase these products through another insurance agent of their choosing.

## Item 6: Performance-Based Fees and Side-by-Side Management

### Sharing of Capital Gains

Fees are <u>not</u> based on a share of the capital gains or capital appreciation of managed securities.

NHWM does not use a performance-based fee structure because of the conflict of interest. Performance based compensation may create an incentive for NHWM to recommend an investment that may carry a higher degree of risk to the Client.

## Item 7: Types of Clients

### Description

NHWM generally provides investment advice to individuals and high net worth individuals. Client relationships vary in scope and length of service.

### Account Minimums

NHWM does not require a minimum to open or maintain an account.

## Item 8: Methods of Analysis, Investment Strategies and Risk of Loss

### Methods of Analysis

Security analysis methods may include technical analysis, charting analysis and asset allocation. Investing in securities involves risk of loss that Clients should be prepared to bear. Past performance is not a guarantee of future returns.

Technical analysis attempts to predict a future stock price or direction based on market trends. The assumption is that the market follows discernible patterns and if these patterns can be identified then a prediction can be made. The risk is that markets do not always follow patterns and relying solely on this method may not take into account new patterns that emerge over time.

Charting analysis strategy involves using and comparing various charts to predict long and short term performance or market trends. The risk involved in using this method is that only past performance data is considered without using other methods to crosscheck data. Using charting analysis without other methods of analysis would be making the assumption that past performance will be indicative of future performance. This may not be the case.

Asset allocation is an investment strategy that aims to balance risk and reward by apportioning a portfolio's assets according to an individual's goals, risk tolerance and investment horizon. The three main asset classes - equities, fixed-income, and cash and equivalents - have different levels of risk and return, so each will behave differently over time.

## Investment Strategy

The investment strategy for a specific Client is based upon the objectives stated by the Client during consultations. The Client may change these objectives at any time by providing written notice to NHWM. Each Client executes a Client profile form or similar form that documents their objectives and their desired investment strategy.

Other strategies may include long-term purchases and short-term purchases.

## Security Specific Material Risks

All investment programs have certain risks that are borne by the investor. Our investment approach constantly keeps the risk of loss in mind. Investors face the following investment risks and should discuss these risks with NHWM:

- *Market Risk*: The prices of securities in which clients invest may decline in response to certain events taking place around the world, including those directly involving the companies whose securities are owned by a fund; conditions affecting the general economy; overall market changes; local, regional or global political, social or economic instability; and currency, interest rate and commodity price fluctuations. Investors should have a long-term perspective and be able to tolerate potentially sharp declines in market value.
- *Interest-rate Risk*: Fluctuations in interest rates may cause investment prices to fluctuate. For example, when interest rates rise, yields on existing bonds become less attractive, causing their market values to decline.
- *Inflation Risk*: When any type of inflation is present, a dollar today will buy more than a dollar next year, because purchasing power is eroding at the rate of inflation.
- *Currency Risk*: Overseas investments are subject to fluctuations in the value of the dollar against the currency of the investment's originating country. This is also referred to as exchange rate risk.
- *Reinvestment Risk*: This is the risk that future proceeds from investments may have to be reinvested at a potentially lower rate of return (i.e. interest rate). This primarily relates to fixed income securities.
- *Liquidity Risk*: Liquidity is the ability to readily convert an investment into cash. Generally, assets are more liquid if many traders are interested in a standardized product. For example, Treasury Bills are highly liquid, while real estate properties are not.
- *Management Risk:* The advisor's investment approach may fail to produce the intended results. If the advisor's assumptions regarding the performance of a specific asset class or fund are not realized in the expected time frame, the overall performance of the client's portfolio may suffer.

- *Equity Risk:* Equity securities tend to be more volatile than other investment choices. The value of an individual mutual fund or ETF can be more volatile than the market as a whole. This volatility affects the value of the client's overall portfolio. Small- and mid-cap companies are subject to additional risks. Smaller companies may experience greater volatility, higher failure rates, more limited markets, product lines, financial resources, and less management experience than larger companies. Smaller companies may also have a lower trading volume, which may disproportionately affect their market price, tending to make them fall more in response to selling pressure than is the case with larger companies.
- *Fixed Income Risk:* The issuer of a fixed income security may not be able to make interest and principal payments when due. Generally, the lower the credit rating of a security, the greater the risk that the issuer will default on its obligation. If a rating agency gives a debt security a lower rating, the value of the debt security will decline because investors will demand a higher rate of return. As nominal interest rates rise, the value of fixed income securities held by a fund is likely to decrease. A nominal interest rate is the sum of a real interest rate and an expected inflation rate.
- *Investment Companies Risk:* When a client invests in open end mutual funds or ETFs, the client indirectly bears their proportionate share of any fees and expenses payable directly by those funds. Therefore, the client will incur higher expenses, which may be duplicative. In addition, the client's overall portfolio may be affected by losses of an underlying fund and the level of risk arising from the investment practices of an underlying fund (such as the use of derivatives). ETFs are also subject to the following risks: (i) an ETF's shares may trade at a market price that is above or below their net asset value or (ii) trading of an ETF's shares may be halted if the listing exchange's officials deem such action appropriate, the shares are de-listed from the exchange, or the activation of market-wide "circuit breakers" (which are tied to large decreases in stock prices) halts stock trading generally. Adviser has no control over the risks taken by the underlying funds in which client invests.
- *Cash and Cash Equivalents Risk:* Cash and cash equivalents consist of investments like money market funds, certificates of deposit (CDs), Treasury bills, and short-term government bonds. They are generally considered low-risk compared to other asset classes. While they offer safety, liquidity, and stability, they come with certain risks, such as inflation, interest rate fluctuations, and opportunity costs.
- *Foreign Securities Risk:* Funds in which clients invest may invest in foreign securities. Foreign securities are subject to additional risks not typically associated with investments in domestic securities. These risks may include, among others, currency risk, country risks (political, diplomatic, regional conflicts, terrorism, war, social and economic instability, currency devaluations and policies that have the effect of limiting or restricting foreign investment or the movement of assets), different trading practices, less government supervision, less publicly available information, limited trading markets and greater volatility. To the extent that underlying funds invest in issuers located in emerging markets, the risk may be heightened by political changes, changes in taxation, or currency controls that could adversely affect the values of these investments. Emerging markets have been more volatile than the markets of developed countries with more mature economies.

- *Long-term purchases*: Long-term investments are those vehicles purchased with the intention of being held for more than one year. Typically the expectation of the investment is to increase in value so that it can eventually be sold for a profit. In addition, there may be an expectation for the investment to provide income. One of the biggest risks associated with long-term investments is volatility, the fluctuations in the financial markets that can cause investments to lose value.
- *Short-term purchases*: Short-term investments are typically held for one year or less. Generally there is not a high expectation for a return or an increase in value. Typically, short-term investments are purchased for the relatively greater degree of principal protection they are designed to provide. Short-term investment vehicles may be subject to purchasing power risk — the risk that your investment's return will not keep up with inflation.
- *Trading risk*: Investing involves risk, including possible loss of principal. There is no assurance that the investment objective of any fund or investment will be achieved.
- *Foreign Investment Risk*: Investments in foreign securities may be riskier than U.S. investments because of factors such as, unstable international, political and economic conditions, currency fluctuations, foreign controls on investment and currency exchange, foreign governmental control of some issuers, potential confiscatory taxation or nationalization of companies by foreign governments, withholding taxes, a lack of adequate company information, less liquid and more volatile exchanges and/or markets, ineffective or detrimental government regulation, varying accounting standards, political or economic factors that may severely limit business activities, and legal systems or market practices that may permit inequitable treatment of minority and/or non-domestic investors. Investments in emerging markets may involve these and other significant risks such as less mature economic structures and less developed and more thinly-traded securities markets.

The risks associated with utilizing Sub-Advisors include:

- Manager Risk
  - Sub-Advisor fails to execute the stated investment strategy
- Business Risk
  - Sub-Advisor has financial or regulatory problems
- The specific risks associated with the portfolios of the Sub-Advisor's which is disclosed in the Sub-Advisor's Form ADV Part 2.

## Item 9: Disciplinary Information

### Criminal or Civil Actions

NHWM and its management have not been involved in any criminal or civil action.

### Administrative Enforcement Proceedings

NHWM and its management have not been involved in administrative enforcement proceedings.

**Self- Regulatory Organization Enforcement Proceedings**

NHWM and its management have not been involved in any self-regulatory organizational enforcement proceedings that are material to a Client's or prospective Client's evaluation of NHWM or the integrity of its management.

## Item 10: Other Financial Industry Activities and Affiliations

**Broker-Dealer or Representative Registration**

NHWM is not registered as a broker-dealer and no affiliated representatives of NHWM are registered representatives of a broker-dealer.

**Futures or Commodity Registration**

Neither NHWM nor its affiliated representatives are registered or have an application pending to register as a futures commission merchant, commodity pool operator, or a commodity trading advisor.

**Material Relationships Maintained by this Advisory Business and Conflicts of Interest**

Robert D. Foutty has a financial affiliated business as a President/CEO/insurance agent with New Horizon Financial Group. Approximately 30% of his time is spent on these activities. Robert W. Foutty  is the Director of Operations with New Horizon Financial Group. Approximately 25% of his time will be spent on this activity. In addition, Robert W. Foutty is the owner and an insurance agent with New Horizon Capital Strategies LLC. Approximately 45% of his time is spent on these activities. They will offer Clients services from those activities. As insurance agents, they may receive separate yet typical compensation.

These practices represent conflicts of interest because it gives an incentive to recommend products based on the commission amount received. This conflict is mitigated by disclosures, procedures and the firm's fiduciary obligation to place the best interest of the Client first and the Clients are not required to purchase any products. Clients have the option to purchase these products through another insurance agent of their choosing.

Carrie L. Foutty is the Owner/Operator of HangItUp! Less than 20% of her time is spent on this activity. This is not a conflict of interest as advisory clients of NHWM are not solicited services for HangItUp!

**Recommendations or Selections of Other Investment Advisors and Conflicts of Interest**

NHWM may also utilize the services of a Sub-Advisor to manage Clients' investment portfolios. Sub-Advisors will maintain the models or investment strategies agreed upon between Sub-Advisor and NHWM. Sub-Advisors execute all trades on behalf of NHWM in Client accounts. NHWM will be responsible for the overall direct relationship with the Client. NHWM retains the authority to terminate the Sub-Advisor relationship at NHWM's discretion.

In addition to the authority granted to NHWM, Clients will grant NHWM full discretionary authority and authorizes NHWM to select and appoint one or more independent investment advisors ("Advisors") to provide investment advisory services to Client without prior consultation with or the prior consent of Client. Such Advisors shall have all of the same authority relating to the management of Client's investment accounts as is granted to NHWM in the Agreement. NHWM ensures that before selecting other advisors for Client that the other advisors are properly licensed or registered as an investment advisor.

This practice represents a conflict of interest as NHWM may select Sub-Advisors who charge a lower fee for their services than other Sub-Advisors. This conflict is mitigated by disclosures, procedures, and by the fact that NHWM has a fiduciary duty to place the best interest of the Client first and will adhere to their code of ethics.

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

### Code of Ethics Description

The affiliated persons (affiliated persons include employees and/or independent contractors) of NHWM have committed to a Code of Ethics ("Code"). The purpose of our Code is to set forth standards of conduct expected of NHWM affiliated persons and addresses conflicts that may arise. The Code defines acceptable behavior for affiliated persons of NHWM. The Code reflects NHWM and its supervised persons' responsibility to act in the best interest of their Client.

One area which the Code addresses is when affiliated persons buy or sell securities for their personal accounts and how to mitigate any conflict of interest with our Clients. We do not allow any affiliated persons to use non-public material information for their personal profit or to use internal research for their personal benefit in conflict with the benefit to our Clients.

NHWM's policy prohibits any person from acting upon or otherwise misusing non-public or inside information. No advisory representative or other affiliated person, officer or director of NHWM may recommend any transaction in a security or its derivative to advisory Clients or engage in personal securities transactions for a security or its derivatives if the advisory representative possesses material, non-public information regarding the security.

NHWM's Code is based on the guiding principle that the interests of the Client are our top priority. NHWM's officers, directors, advisors, and other affiliated persons have a fiduciary duty to our Clients and must diligently perform that duty to maintain the complete trust and confidence of our Clients. When a conflict arises, it is our obligation to put the Client's interests over the interests of either affiliated persons or the company.

The Code applies to "access" persons. "Access" persons are affiliated persons who have access to non-public information regarding any Clients' purchase or sale of securities, or non-public information regarding the portfolio holdings of any reportable fund, who are involved in making securities recommendations to Clients, or who have access to such recommendations that are non-public.

NHWM will provide a copy of the Code of Ethics to any Client or prospective Client upon request.

### Investment Recommendations Involving a Material Financial Interest and Conflict of Interest

NHWM and its affiliated persons do not recommend to Clients securities in which we have a material financial interest.

### Advisory Firm Purchase of Same Securities Recommended to Clients and Conflicts of Interest

NHWM and its affiliated persons may buy or sell securities that are also held by Clients. In order to mitigate conflicts of interest such as trading ahead of Client transactions, affiliated persons are required to disclose all reportable securities transactions as well as provide NHWM with copies of their brokerage statements.

The Chief Compliance Officer of NHWM is Robert W. Foutty. He reviews all trades of the affiliated persons each quarter. The personal trading reviews ensure that the personal trading of affiliated persons does not affect the markets and that Clients of the firm receive preferential treatment over associated persons' transactions.

### Client Securities Recommendations or Trades and Concurrent Advisory Firm Securities Transactions and Conflicts of Interest

NHWM does not have a material financial interest in any securities being recommended. However, affiliated persons may buy or sell securities at the same time they buy or sell securities for Clients. In order to mitigate conflicts of interest such as front running, affiliated persons are required to disclose all reportable securities transactions as well as provide NHWM with copies of their brokerage statements.

The Chief Compliance Officer of NHWM is Robert W. Foutty. He reviews all trades of the affiliated persons each quarter. The personal trading reviews ensure that the personal trading of affiliated persons does not affect the markets and that Clients of the firm receive preferential treatment over associated persons' transactions.

## Item 12: Brokerage Practices

### Factors Used to Select Broker-Dealers for Client Transactions

NHWM will recommend the use of a particular broker-dealer based on their duty to seek best execution for the client, meaning they have an obligation to obtain the most favorable terms for a client under the circumstances. The determination of what may constitute best execution and price in the execution of a securities transaction by a broker involves a number of considerations and is subjective. Factors affecting brokerage selection include the overall direct net economic result to the portfolios, the efficiency with which the transaction is affected, the ability to effect the transaction where a large block is involved, the operational facilities of the broker-dealer, the value of an ongoing relationship with such broker and the financial strength and stability of the broker. NHWM will select appropriate brokers based on a number of factors including but not limited to their relatively low transaction fees, reporting ability, execution capability (speed and accuracy), financial stability and reputation, access to markets, technology and reporting platforms, quality of client service and availability of investment research and other brokerage services. NHWM relies on its broker to provide its execution services at the best prices available. Lower fees for comparable services may be available from other sources. Clients pay for any and all custodial fees in addition to the advisory fee charged by NHWM. NHWM does not receive any portion of the trading fees.

NHWM will recommend the use of Fidelity.

- *Research and Other Soft Dollar Benefits*
  The Securities and Exchange Commission defines soft dollar practices as arrangement under which products or services other than execution services are obtained by NHWM from or through a broker-dealer in exchange for directing Client transactions to the broker-dealer. NHWM does not receive any soft dollars.
- *Brokerage for Client Referrals*

NHWM does not receive client referrals from any custodian or third party in exchange for using that broker-dealer or third party.

- *Directed Brokerage*
  NHWM does not allow directed brokerage accounts.

**Aggregating Securities Transactions for Client Accounts**

NHWM is authorized in its discretion to aggregate purchases and sales and other transactions made for the account with purchases and sales and transactions in the same securities for other Clients of NHWM. All Clients participating in the aggregated order shall receive an average share price with all other transaction costs shared on a pro-rated basis. If aggregation is not allowed or infeasible and individual transactions occur (e.g., withdrawal or liquidation requests, odd-lot trades, etc.) an account may potentially be assessed higher costs or less favorable prices than those where aggregation has occurred.

## Item 13: Review of Accounts

**Schedule for Periodic Review of Client Accounts or Financial Plans and Advisory Persons Involved**

Account reviews are performed quarterly by the Chief Compliance Officer of NHWM, Robert W. Foutty. Account reviews are performed more frequently when market conditions dictate. Reviews of Client accounts include, but are not limited to, a review of Client documented risk tolerance, adherence to account objectives, investment time horizon, and suitability criteria, reviewing target allocations of each asset class to identify if there is an opportunity for rebalancing.

Financial plans generated are updated as requested by the Client, NHWM suggests updating at least annually.

**Review of Client Accounts on Non-Periodic Basis**

Other conditions that may trigger a review of Clients' accounts are changes in the tax laws, new investment information, and changes in a Client's own situation.

**Content of Client Provided Reports and Frequency**

Clients receive written account statements no less than monthly for managed accounts. Account statements are issued by NHWM's custodian. Client receives confirmations of each transaction in account from custodian and an additional statement during any month in which a transaction occurs. Performance reports will be provided by NHWM at Client reviews to Clients with assets under management.

## Item 14: Client Referrals and Other Compensation

**Economic Benefits Provided to the Advisory Firm from External Sources and Conflicts of Interest**

On occasion, outside parties such as product vendors, service vendors, or third party money managers may invite and pay the expenses for an NHWM Advisor to attend a conference, training seminar or due diligence event that they have organized.

Additionally, an outside party may provide economic benefits by paying for all or a portion of a meeting hosted by NHWM such as a client appreciation event, sales seminar or training meeting.

This economic benefit is not tied to any specific sales quota. The receipt of cash or non-cash compensation from an outside party creates a conflict of interest when making investment recommendations for clients. This conflict is mitigated by disclosures, procedures, and the firm's fiduciary obligation to place the best interest of the Client first.

### Advisory Firm Payments for Client Referrals

NHWM does not compensate for Client referrals.

## Item 15: Custody

### Account Statements

All assets are held at qualified custodians, which means the custodians provide account statements directly to Clients at their address of record at least quarterly. Clients are urged to carefully compare the account statements received directly from their custodians to any documentation or reports prepared by NHWM.

NHWM is deemed to have limited custody solely because advisory fees are directly deducted from Client's accounts by the custodian on behalf of NHWM.

In states that require invoicing, if NHWM is authorized or permitted to deduct fees directly from the account by the custodian:

- NHWM will provide the Client with an invoice concurrent to instructing the custodian to deduct the fee stating the amount of the fee, the formula used to calculate the fee, the amount of assets under management the fee is based on and the time period covered by the fee;
- NHWM will obtain written authorization signed by the Client allowing the fees to be deducted; and
- The Client will receive quarterly statements directly from the custodian which disclose the fees deducted.

## Item 16: Investment Discretion

### Discretionary Authority for Trading

NHWM requires discretionary authority to manage securities accounts on behalf of Clients. NHWM has the authority to determine, without obtaining specific Client consent, the securities to be bought or sold, and the amount of the securities to be bought or sold. Client will authorize NHWM discretionary authority as stated within the Investment Advisory Agreement.

NHWM allows Clients to place certain restrictions, as outlined in the Client's Investment Policy Statement or similar document. These restrictions must be provided to NHWM in writing.

The Client approves the custodian to be used. NHWM does not receive any portion of the transaction fees or commissions paid by the Client to the custodian.

## Item 17: Voting Client Securities

### Proxy Votes

NHWM does not vote proxies on securities. Clients are expected to vote their own proxies. The Client will receive their proxies directly from the custodian of their account or from a transfer agent.

When assistance on voting proxies is requested, NHWM will provide recommendations to the Client. If a conflict of interest exists, it will be disclosed to the Client. If the Client requires assistance or has questions, they can reach out to the investment advisor representatives of the firm at the contact information on the cover page of this document.

## Item 18: Financial Information

### Balance Sheet

A balance sheet is not required to be provided to Clients because NHWM does not serve as a custodian for Client funds or securities and NHWM does not require prepayment of fees of more than $500 per Client and six months or more in advance.

### Financial Conditions Reasonably Likely to Impair Advisory Firm's Ability to Meet Commitments to Clients

NHWM has no condition that is reasonably likely to impair our ability to meet contractual commitments to our Clients.

### Bankruptcy Petitions during the Past Ten Years

NHWM has not had any bankruptcy petitions in the last ten years.

## Item 19: Requirements for State Registered Advisors

### Principal Executive Officers and Management Persons

### Principal Executive Officer – Robert W. Foutty

- Year of birth: 1985

### Item 2 - Educational Background and Business Experience

Educational Background:

- University of Akron; Bachelor of Arts – Political Science; 2009

Business Experience:

- New Horizon Wealth Management, LLC.; Chief Compliance Officer; 04/2026-Present
- New Horizon Capital Strategies, LLC; Owner/Insurance Agent; 04/2026
- New Horizon Financial Group; Director of Operations;06/2005-Present
- Robert W. Foutty, Sole Proprietor; Insurance Agent; 06/2005-Present

### Principal Executive Officer – Carrie L. Foutty

- Year of birth: 1962

### Item 2 - Educational Background and Business Experience

Educational Background:

- No post-secondary education

Business Experience:

- New Horizon Wealth Management, LLC.; Co-owner; 02/2026-Present
- Homemaker; 04/2016-Present

**Outside Business Activities**

Robert W. Foutty is the Director of Operations with New Horizon Financial Group. Approximately 25% of his time will be spent on this activity. In addition, Robert W. Foutty is the owner and an insurance agent with New Horizon Capital Strategies LLC. Approximately 45% of his time is spent on these activities. They will offer Clients services from those activities. As insurance agents, they may receive separate yet typical compensation.

These practices represent conflicts of interest because it gives an incentive to recommend products based on the commission amount received. This conflict is mitigated by disclosures, procedures and the firm's fiduciary obligation to place the best interest of the Client first and the Clients are not required to purchase any products. Clients have the option to purchase these products through another insurance agent of their choosing.

Carrie L. Foutty is the Owner/Operator of HangItUp! Less than 20% of her time is spent on this activity. This is not a conflict of interest as advisory clients of NHWM are not solicited services for HangItUp!

**Performance Based Fee Description**

Neither NHWM nor its management receive performance based fees. Please see Item 6 of the ADV 2A for more information.

**Disclosure of Material Facts Related to Arbitration or Disciplinary Actions Involving Management Persons**

The disclosure of material facts related to arbitration or disciplinary actions for all executive officers and management persons can be found in the Part 2B of this Brochure.

**Material Relationship Maintained by this Advisory Business or Management persons with Issuers of Securities**

There are no material relationships with issuers of securities to disclose.

Item 1 Cover Page

# SUPERVISED PERSON BROCHURE

FORM ADV PART 2B

## Robert D. Foutty

# New Horizon Wealth Management, LLC


**Office Address:**
3930 Fulton Drive NW
Suite 209
Canton, OH 44718

**Tel:** 330-499-1915

**Fax:** 330-499-2922

**Email:** bob@nhwealth.biz

**Website:** www.nhwealth.biz


August 12, 2026

This brochure supplement provides information about Robert D. Foutty and supplements the New Horizon Wealth Management, LLC brochure. You should have received a copy of that brochure. Please contact Robert D. Foutty if you did not receive the brochure or if you have any questions about the contents of this supplement.

**ADDITIONAL INFORMATION ABOUT ROBERT D. FOUTTY (CRD #2882155) IS AVAILABLE ON THE SEC'S WEBSITE AT WWW.ADVISERINFO.SEC.GOV.**

# Brochure Supplement (Part 2B of Form ADV)

## Supervised Person Brochure

**Principal Executive Officer – Robert D. Foutty**

- Year of birth: 1962

**Item 2 - Educational Background and Business Experience**

Educational Background:

- No post-secondary education

Business Experience:

- New Horizon Wealth Management, LLC.; Investment Advisor Representative; 07/2026-Present
- New Horizon Wealth Management, LLC.; Co-Owner; 06/2011-Present
- New Horizon Financial Group, Inc.; President/CEO/Insurance Agent; 05/1992-Present
- Packerland Brokerage Services, Inc.; Investment Advisor Representative/Registered Representative; 10/2006-07/2026

**Item 3 - Disciplinary Information**

A. Mr. Foutty has never been involved in a criminal or civil action in a domestic, foreign or military court of competent jurisdiction for which he:

1. Was convicted of, or pled guilty or nolo contender ("no contest") to (a) any felony; (b) misdemeanor that involved investments or an investment-related business, fraud, false statement or omissions, wrongful taking of property, bribery, perjury, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses;
2. Is the named subject of a pending criminal proceeding that involves an investment-related business, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses;
3. Was found to have been involved in a violation of an investment-related statute or regulation; or
4. Was the subject of any order, judgement or decree permanently or temporarily enjoining, or otherwise limiting, him from engaging in any investment related activity, or from violating any investment-related statute, rule, or order.

B. Mr. Foutty never had an administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority in which he:

1. Was found to have caused an investment-related business to lose its authorization to do business; or the subject of an order by the agency or authority;
2. Was found to have been involved in a violation of an investment-related statute or regulation or was the subject of an order by the agency or authority

(a)denying, suspending or revoking the authorization of the supervised person to act in an investment-related business; (b) barring or suspending his association with an investment-related business; (c) otherwise significantly limiting his investment-related activities; or (d) imposing a civil money penalty of more than $2,500 on him.

C. Mr. Foutty has never been the subject of a self-regulatory organization (SRO) proceeding in which he:

   1. Was found to have caused an investment-related business to lose its authorization to do business; or

   2. Was found to have been involved in a violation of the SRO's rules and was: (a) barred or suspended from membership or from association with other members, or was expelled from membership; (b) otherwise significantly limited from investment-related activities; or (c) fined more than $2,500.

D. Mr. Foutty has not been involved in any other hearing or formal adjudication in which a professional attainment, designation, or license of the supervised person was revoked or suspended because of a violation of rules relating to professional conduct.

## Item 4 - Other Business Activities

Robert D. Foutty has a financial affiliated business as a President/CEO/insurance agent with New Horizon Financial Group. Approximately 30% of his time is spent on these activities. He will offer Clients services from those activities. As an insurance agent, he may receive separate yet typical compensation.

These practices represent conflicts of interest because it gives an incentive to recommend products based on the commission amount received. This conflict is mitigated by disclosures, procedures and the firm's fiduciary obligation to place the best interest of the Client first and the Clients are not required to purchase any products. Clients have the option to purchase these products through another insurance agent of their choosing.

## Item 5 - Additional Compensation

Mr. Foutty receives commissions on the insurance products he sells. He does not receive any performance-based fees and does not receive any additional compensation for performing advisory services other than what is disclosed in Item 5 of Part 2A.

## Item 6 - Supervision

Robert W. Foutty is the Chief Compliance Officer of NHWM. Robert W. Foutty reviews Robert D. Foutty's work through Client account reviews and quarterly personal transaction reports, as well as face-to-face and phone interactions. Robert W. Foutty can be reached at rw@nhwealth.biz or 330-499-1915.

## Item 7 - Requirements for State-Registered Advisors

A. Mr. Foutty has not been involved in any of the following:

   1. An award or otherwise been found liable in an arbitration claim alleging damages in excess of $2,500 involving any of the following:

      i. An investment or an investment-related business or activity;
      ii. Fraud, false statement(s) or omissions;
      iii. Theft, embezzlement or other wrongful taking of property;
      iv. Bribery, forgery, counterfeiting, or extortion;
      v. Dishonest, unfair or unethical practices.

2. An award or otherwise been found liable in a civil, self-regulatory organization, or administrative proceeding involving any of the following:
    i. An investment or an investment-related business or activity;
    ii. Fraud, false statement(s) or omissions;
    iii. Theft, embezzlement or other wrongful taking of property;
    iv. Bribery, forgery, counterfeiting, or extortion;
    v. Dishonest, unfair or unethical practices.

B. Mr. Foutty has never been the subject of a bankruptcy petition.