

**FORM ADV PART 2A
DISCLOSURE BROCHURE**

Sovereign Capital Vantage, Inc.

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This brochure provides information about the qualifications and business practices of Sovereign Capital Vantage, Inc. Being registered as a registered 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 662-510-8977 or 804-299-3747. 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 Sovereign Capital Vantage, Inc. (IARD#288492) is available on the SEC's website at www.adviserinfo.sec.gov

JANUARY 1, 2023

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 July 2023, the final merger with TD Ameritrade and Schwab has been completed and all accounts are now on the Schwab platform and in custody of Schwab.

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

Sovereign Capital Vantage, Inc. ("SCV") was founded in 2017. Marc D. Thompson is 69.33% owner. Diana Thompson, Kenneth Helton and Nyla Dees are each 10.26% owners.

Sovereign Capital Vantage, Inc. ("SCV") is registered in the following jurisdictions: Mississippi, Tennessee, Missouri, and Virginia.

SCV is a fee based financial planning and investment management firm.

SCV does not act as a custodian of client assets.

An evaluation of each client's initial situation is provided to the client, often in the form of a net worth statement, risk analysis or similar document. Periodic reviews are also communicated to provide reminders of the specific courses of action that need to be taken. More frequent reviews occur but are not necessarily communicated to the client unless immediate changes are recommended.

Other professionals (e.g., lawyers, accountants, tax preparers, insurance agents, etc.) are engaged directly by the client on an as-needed basis and may charge fees of their own. Conflicts of interest will be disclosed to the client in the event they should occur.

Types of Advisory Services

ASSET MANAGEMENT

SCV offers discretionary direct asset management services to advisory clients. SCV will offer clients ongoing portfolio 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.

We provide an additional service for accounts not directly held in our custody, such as 401(k), 403(b) 457 and TSA accounts of clients. We use a third party platform to facilitate management of these held away assets, with discretion. The platform allows SCV to avoid being considered to have custody of Client funds since SCV does not have direct access to Client log-in credentials. SCV does not affiliated with the platform in any way and receives no compensation from them for using their platform. A link will be provided to the Client allowing them to connect an account(s) to the platform. Once Client account(s) is connected to the platform, we will review the current account allocations. When deemed necessary, we will rebalance the account considering client investment goals and risk tolerance, any change in allocations and current economic and market trends. The goal is to improve account performance over time, minimize loss during difficult markets, and manage internal fees that harm account performance. Client account(s) will be reviewed at least quarterly and allocation changes will be made as deemed necessary

Discretionary

When the client provides SCV discretionary authority the client will sign a limited trading authorization or equivalent. SCV will have the authority to execute transactions in the account without seeking client approval on each transaction.

FINANCIAL PLANNING AND CONSULTING

If financial planning and consulting services are applicable, the client will compensate SCV on an hourly fee basis described in detail under “Fees and Compensation” section of this brochure. Services include, but are not limited to, a thorough review of all applicable topics including wills, estate plans/trusts, investments, qualified plans, retirement income, social security, college planning, taxes and insurance. If a conflict of interest exists between the interests of the investment advisor and the interests of the client, the client is under no obligation to act upon the investment advisor’s recommendation. If the client elects to act on any of the recommendations, the client is under no obligation to effect the transaction through SCV. Financial planning and consulting services are offered on an hourly rate of \$150. The payment is due upon signing the agreement. Services are generally completed and delivered inside of sixty (60) days contingent upon timely client delivery of required documentation, but the contract terminates once the financial plan has been delivered. Client will receive a detailed invoice with delivery showing any refund of unused fees, or additional fees due.

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.

Agreements may not be assigned without written client consent.

Wrap Fee Programs

SCV does not sponsor any wrap fee programs.

Client Assets under Management

As of January 1, 2024, SCV has \$18,638,975 of Client assets under management on a discretionary basis.

Item 5: Fees and Compensation

Method of Compensation and Fee Schedule

ASSET MANAGEMENT

SCV offers discretionary direct asset management services to advisory clients. SCV charges an annual investment advisory fee based on the total assets under management as follows:

Fees are based on the value of the assets held in each account. Fees on accounts will be charged at a flat rate not exceeding 1.75%. Fees are billed monthly in arrears based on the amount of assets managed as of the last business day of the month. The annual fee is negotiable and may be reduced for combined household accounts. Custodial fees, if any, are charged separately by the custodian.

Monthly advisory fees will be deducted from the clients’ account by the custodian. 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. Clients may terminate advisory services with written notice. SCV will be entitled to a pro rata fee for the days service was provided in the final month. Client shall be given thirty (30) days prior written notice of any increase in fees and client will acknowledge, in writing, any agreement of increase in said fees.

Monthly fee multiplier = (negotiated fee % / 100) / 12

(\$ Month-end AUM) X (Monthly fee multiplier) = \$ Monthly Advisory Fee

FINANCIAL PLANNING AND CONSULTING

Financial planning and consulting services are offered based on an hourly rate of \$150. The number of hours needed depends upon the complexity of the client's situation and the number of projections needed by the client. Lower fees for comparable services may be available from other sources. Prior to the planning process the client will be provided an estimated plan fee. The payment is due upon signing the agreement. SCV reserves the right to waive the planning fees should the client decide to implement the plan with SCV. Services are generally completed and delivered inside of sixty (60) days contingent upon timely client delivery of required documentation, but the contract terminates once the financial plan has been delivered.

Client may cancel within five (5) days of signing the agreement for a full refund. If the client cancels after five (5) days, any unearned fees will be refunded to the client.

If the actual time needed is less than estimated, the client will be refunded the prorated difference. If the actual time needed is more than the estimate, work will stop when the number of hours paid for have been expended and the matter will be discussed with the client. An additional agreement will be negotiated following the same procedures listed in the paragraph above.

Client Payment of Fees

Investment management fees are billed monthly in arrears, meaning we bill you after month has ended. Fees are usually deducted from a designated client account to facilitate billing. The client must consent in advance to direct debiting of their investment account.

Additional Client Fees Charged

Custodians may charge transaction fees on purchases or sales of certain mutual funds, equities, and exchange-traded funds. These charges may include mutual fund transactions fees, postage and handling and miscellaneous fees. None of the investment models developed by SCV contain mutual funds or ETFs, however, if a client opted to own these products, additional fees could apply. Additionally, in our service related to the management of assets contained in held away retirement accounts, such as 401(k)s, 403(b)s etc, the investment options contained in the client's retirement account may have additional fees related to their ownership.

SCV, in its sole discretion, may waive its minimum fee and/or charge a lesser investment advisory fee 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.).

For more details on the brokerage practices, see Item 12 of this brochure.

Prepayment of Client Fees

Fees for financial plans are due upon signing the agreement. Once the financial plan and/or recommendations have been delivered, the service is considered complete.

External Compensation for the Sale of Securities to Clients

Neither SCV nor any of its investment adviser representatives receive any external compensation for the sale of securities to clients.

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

Sharing of Capital Gains

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

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

Item 7: Types of Clients

Description

SCV generally provides investment advice to individuals, high net worth individuals, or business entities.

Client relationships vary in scope and length of service.

Account Minimums

SCV requires a minimum of \$100,000 to open an account but reserves the right to accept accounts with fewer assets.

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

Methods of Analysis

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

Fundamental analysis involves evaluating a stock using real data such as company revenues, earnings, return on equity, and profit margins to determine underlying value and potential growth. Technical analysis involves evaluating securities based on past prices and volume.

When creating a financial plan, SCV utilizes fundamental analysis to provide review of insurance policies for economic value and income replacement. Technical analysis is used to review mutual funds and individual stocks. The main sources of information include Morningstar, client documents such as tax returns and insurance policies.

In developing a financial plan for a client, SCV's analysis may include cash flow analysis, investment planning, risk management, tax planning and estate planning. Based on the information gathered, a detailed strategy is tailored to the client's specific situation.

The main sources of information include financial newspapers and magazines, annual reports, prospectuses, and filings with the Securities and Exchange Commission.

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. 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, short-term purchases, trading, and option writing (including covered options, uncovered options or spreading strategies).

Security Specific Material Risks

All investment programs have certain risks that are borne by the investor. Fundamental analysis may involve interest rate risk, market risk, business risk, and financial risk. Risks involved in technical analysis are inflation risk, reinvestment risk, and market risk. Cyclical analysis involves inflation risk, market risk, and currency risk.

Our investment approach constantly keeps the risk of loss in mind. Investors face the following investment risks and should discuss these risks with SCV.

- *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.
- *Market Risk:* The price of a security, bond, or mutual fund may drop in reaction to tangible and intangible events and conditions. This type of risk is caused by external factors independent of a security's particular underlying circumstances. For example, political, economic and social conditions may trigger market events.
- *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.
- *Business Risk:* These risks are associated with a particular industry or a particular company within an industry. For example, oil-drilling companies depend on finding oil and then refining it, a lengthy process, before they can generate a profit. They carry a higher risk of profitability than an electric company which generates its income from a steady stream of customers who buy electricity no matter what the economic environment is like.
- *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.
- *Financial Risk:* Excessive borrowing to finance a business' operations increases the risk of profitability, because the company must meet the terms of its obligations in good times and bad. During periods of financial stress, the inability to meet loan obligations may result in bankruptcy and/or a declining market value.
- *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.
- *Options Trading:* The risks involved with trading options are that they are very time sensitive investments. An options contract is generally a few months. The buyer of an option could lose his or her entire investment even with a correct prediction about the direction and magnitude of a particular price change if the price change does not occur in the relevant time period (i.e., before the option expires). Additionally, options are less tangible than some other investments. An option is a “book-entry” only investment without a paper certificate of ownership.

Item 9: Disciplinary Information

Criminal or Civil Actions

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

Administrative Enforcement Proceedings

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

Self-Regulatory Organization Enforcement Proceedings

SCV and its management have not been involved in legal or disciplinary events related to past or present investment clients.

Item 10: Other Financial Industry Activities and Affiliations

Broker-Dealer or Representative Registration

Neither SCV nor any of its employees are registered representatives of a broker-dealer.

Futures or Commodity Registration

Neither SCV nor its employees are registered or has 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

SCV nor any of its employees maintain any known material relationship that could result in a conflict of interest with our clients.

Recommendations or Selections of Other Investment Advisors and Conflicts of Interest

SCV does not utilize the services of Third Party Money Managers to manage client accounts.

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

Code of Ethics Description

The employees of SCV have committed to a Code of Ethics (“Code”). The purpose of our Code is to set forth standards of conduct expected of SCV employees and addresses conflicts that may arise. The Code defines acceptable behavior for employees of SCV. The Code reflects SCV and its supervised persons’ responsibility to act in the best interest of their client.

One area which the Code addresses is when employees buy or sell securities for their personal accounts and how to mitigate any conflict of interest with our clients. We do not allow any employees 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.

SCV's policy prohibits any person from acting upon or otherwise misusing non-public or inside information. No advisory representative or other employee, officer or director of SCV 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.

SCV's Code is based on the guiding principle that the interests of the client are the top priority. SCV's officers, directors, advisers, and other employees have a fiduciary duty to the clients and must diligently perform that duty to maintain the trust and confidence of the clients. When a conflict arises, it is SCV's obligation to put the client's interests over the interests of either employees or the company.

The Code applies to "access" persons. "Access" persons are employees 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.

The firm 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

SCV employees may maintain personal investment accounts, the holdings of which will be disclosed upon request to any client of SCV.

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

SCV and its employees may buy or sell securities that are also held by clients. In order to mitigate conflicts of interest such as front running, employees are required to disclose all reportable securities transactions as well as provide SCV with copies of their brokerage statements.

The Chief Compliance Officer of SCV is Marc D. Thompson. He reviews all employee trades quarterly. The personal trading reviews ensure that the personal trading of employees does not affect the markets and that clients of the firm do not receive preferential treatment over employee transactions.

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

SCV does not maintain a firm proprietary trading account and does not have a material financial interest in any securities being recommended and therefore no conflicts of interest exist. However, employees 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, employees are required to disclose all reportable securities transactions as well as provide SCV with copies of their brokerage statements.

Item 12: Brokerage Practices

Factors Used to Select Broker-Dealers for Client Transactions

SCV may recommend the use of a particular broker-dealer such as Schwab, Inc., Member FINRA/SIPC, or may utilize a broker-dealer of the client's choosing. SCV will select appropriate brokers based on a number of factors including but not limited to their relatively low transaction fees and reporting ability. SCV 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 SCV .

SCV participates in the Schwab program. Schwab, Inc. ("Schwab") is an independent SEC-registered broker-dealer and is not affiliated with SCV. Schwab offers to independent investment advisors, services which include custody of securities, trade execution, clearance and settlement of transactions. SCV receives some benefits from Schwab through its participation in the program (Please see the disclosure under Item 14).

- *Directed Brokerage*

In circumstances where a client directs SCV to use a certain broker-dealer, SCV still has a fiduciary duty to its clients. The following may apply with Directed Brokerage: SCV's inability to negotiate commissions, to obtain volume discounts, there may be a disparity in commission charges among clients and conflicts of interest arising from brokerage firm referrals.

- *Best Execution*

Investment advisors who manage or supervise client portfolios on a discretionary basis have a fiduciary obligation of best execution. 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 effected, 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. The firm does not receive any portion of the trading fees.

- *Soft Dollar Arrangements*

The Securities and Exchange Commission defines soft dollar practices as arrangement under which products or services other than execution services are obtained by SCV from or through a broker-dealer in exchange for directing client transactions to the broker-dealer. As permitted by Section 28(e) of the Securities Exchange Act of 1934, SCV receives economic benefits as a result of commissions generated from securities transactions by the broker-dealer from the accounts of SCV. These benefits include both proprietary research from the broker and other research written by third parties.

A conflict of interest exists when SCV receives soft dollars. This conflict is mitigated by the fact that SCV has a fiduciary responsibility to act in the best interest of its clients and the services received are beneficial to all clients.

Aggregating Securities Transactions for Client Accounts

SCV 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 SCV. All clients participating in the aggregated order shall receive an average share price with all other transaction costs shared on a pro-rated basis.

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 investment adviser representatives of SCV. Account reviews are performed more frequently when market conditions dictate.

Financial Plans are considered complete when recommendations are delivered to the client and a review is done only upon request of client.

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 quarterly for managed accounts. Account statements are issued by SCV's custodian. Client receives confirmations of each transaction in account from custodian and an additional statement during any month in which a transaction occurs.

Item 14: Client Referrals and Other Compensation

Economic benefits provided to the Advisory Firm from External Sources and Conflicts of Interest

As disclosed under Item 12 above, SCV participates in Schwab's customer program and SCV may recommend Schwab to Clients for custody and brokerage services. There is no direct link between SCV's participation in the program and the investment advice it gives to its Clients, although SCV receives economic benefits through its participation in the program that are typically not available to Schwab retail investors. These benefits include the following products and services (provided without cost or at a discount): receipt of duplicate Client statements and confirmations; research related products and tools; consulting services; access to a trading desk serving SCV participants; access to block trading (which provides the ability to aggregate securities transactions for execution and then allocate the appropriate shares to Client accounts); the ability to have advisory fees deducted directly from Client accounts; access to an electronic communications network for Client order entry and account information; access to mutual funds with no transaction fees and to certain institutional money managers; and discounts on compliance, marketing, research, technology, and practice management products or services provided to SCV by third party vendors.

Schwab may also have paid for business consulting and professional services received by SCV's related persons. Some of the products and services made available by Schwab through the program may benefit SCV but may not benefit its Client accounts. These products or services may assist SCV in managing and administering Client accounts, including accounts not maintained at Schwab. Other services made available by Schwab are intended to help SCV manage and further develop its business enterprise. The benefits received by SCV or its personnel through participation in the program do not depend on the amount of brokerage transactions directed to Schwab. As part of its fiduciary duties to clients, SCV endeavors at all times to put the interests of its clients first. Clients should be

aware, however, that the receipt of economic benefits by SCV or its related persons in and of itself creates a conflict of interest and may indirectly influence the SCV's choice of Schwab for custody and brokerage services.

Advisory Firm Payments for Client Referrals

SCV 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 compare the account statements received directly from their custodians to the performance report statements prepared by SCV.

SCV is deemed to have constructive custody solely because advisory fees are directly deducted from client's account by the custodian on behalf of SCV.

Item 16: Investment Discretion

Discretionary Authority for Trading

SCV accepts discretionary authority to manage securities accounts on behalf of clients. SCV 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. SCV will allow clients to place restrictions or limitations on accounts. These restrictions or limitations will be discussed during the initial meeting and will be recorded in the client file. The client will authorize SCV discretionary authority to execute selected investment program transactions as stated within the Investment Advisory Agreement.

SCV does not accept non-discretionary accounts on behalf of clients.

The client approves the custodian to be used and the commission rates paid to the custodian. SCV does not receive any portion of the transaction fees or commissions paid, if any, by the client to the custodian on certain trades.

Item 17: Voting Client Securities

Proxy Votes

SCV 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, SCV will provide recommendations to the client. If a conflict of interest exists, it will be disclosed to the client.

Item 18: Financial Information

Balance Sheet

A balance sheet is not required to be provided because SCV does not serve as a custodian for client funds or securities and SCV does not require prepayment of fees of more than \$500 per client and six (6) months or more in advance.

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

SCV 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

SCV has not had any bankruptcy petitions.

Item 19: Requirements for State Registered Advisers

Education and business background, including any outside business activities and disclosable events for all management and supervised persons can be found in the Supplement to this Brochure (Part 2B of Form ADV Part 2).

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

None to report

Item 1 Cover Page

SUPERVISED PERSON BROCHURE
FORM ADV PART 2B

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This brochure supplement provides information about Marc D. Thompson and supplements the Sovereign Capital Vantage, Inc.'s brochure. You should have received a copy of that brochure. Please contact Marc D. Thompson if you did not receive the brochure or if you have any questions about the contents of this supplement.

Additional information about Marc D. Thompson (CRD#2734055) is available on the SEC's website at www.adviserinfo.sec.gov.

JANUARY 1, 2024

**Brochure Supplement (Part 2B of Form ADV)
Supervised Person Brochure**

Principal Executive Officer

Marc D. Thompson

- Year of birth: 1967
-

Item 2 Educational Background and Business Experience

Business Experience:

- Sovereign Capital Vantage, Inc.; President/Investment Adviser Representative; 06/2017 – Present
- Edward Jones; Registered Representative/Investment Adviser Representative; 01/2010 – 06/2017
- Fortress Financial Alliance Corp; President/Insurance Agent; 02/2007 – 01/2010

Educational Background:

- No Post-Secondary Education
-

Item 3 Disciplinary Information

Criminal or Civil Action: None to report.

Administrative Proceeding: None to report.

Self-Regulatory Proceeding: None to Report.

Item 4 Other Business Activities

Mr. Marc Thompson does not maintain any other business practices related to the financial or investment related industry.

Item 5 Additional Compensation

No employee of SCV receives any compensation other than salary, and/or a portion of fees charged to clients to manage assets or consult, as described in this document.

Item 6 Supervision

Marc Thompson is the Chief Compliance Officer of Sovereign Capital Vantage, Inc. He is solely responsible for all supervision and formulation and monitoring of investment advice offered to clients. He will adhere to the policies and procedures as described in the firm's Compliance Manual.

Item 7 Requirements for State-Registered Advisers

Arbitration Claims: None to report.

Self-Regulatory Organization or Administrative Proceeding: None to report.

Bankruptcy Petition: None to report.

Item 2 Additional Page

SUPERVISED PERSON BROCHURE
FORM ADV PART 2B

David J. Thompson

Sovereign Capital Vantage, Inc.

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This brochure supplement provides information about David J. Thompson and supplements the Sovereign Capital Vantage, Inc.'s brochure. You should have received a copy of that brochure. Please contact Marc D. Thompson if you did not receive the brochure or if you have any questions about the contents of this supplement.

Additional information about David J. Thompson (CRD#7112392) is available on the SEC's website at www.adviserinfo.sec.gov.

JANUARY 1, 2023

**Brochure Supplement (Part 2B of Form ADV)
Supervised Person Brochure**

St. Louis Regional Vice President – Investment Adviser Representative

David J. Thompson

- Year of birth: 1966
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Item 2 Educational Background and Business Experience

Business Experience:

- Sovereign Capital Vantage, Inc.; Regional Vice President/Investment Adviser Representative 5/2019 - Present
- Prestige Ballroom LLC, Owner; 10/2013 – 3/2020
- Dance Pizazz LLC, Founding partner; 08/2008 – 10/2013

Educational Background:

- No Post-Secondary Education
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Item 3 Disciplinary Information

Criminal or Civil Action: None to report.

Administrative Proceeding: None to report.

Self-Regulatory Proceeding: None to Report.

Item 4 Other Business Activities

Mr. David J. Thompson does not maintain any other business practices related to the financial or investment related industry.

Item 5 Additional Compensation

No employee of SCV receives any compensation other than salary, and/or a portion of fees charged to clients to manage assets or consult, as described in this document.

Item 6 Supervision

Marc Thompson is the Chief Compliance Officer of Sovereign Capital Vantage, Inc. He is solely responsible for all supervision and formulation and monitoring of investment advice offered to clients. He will adhere to the policies and procedures as described in the firm's Compliance Manual.

Item 7 Requirements for State-Registered Advisers

Arbitration Claims: None to report.

Self-Regulatory Organization or Administrative Proceeding: None to report.

Bankruptcy Petition: None to report.