

**Form ADV Part 3-CRS (Customer Relationship Summary)**  
**June 30, 2020**  
**Delta Capital Management, LLC**

**Item 1: Introduction**

Delta Capital Management, LLC (DCM) is an investment adviser registered with the United States Securities and Exchange Commission. Our offices are located in New York, NY and Red Bank, NJ. Investment advisory services and fees differ from those of brokerage firms' fees, and it is important for you to understand these differences. Free and simple tools are available to research firms and financial professionals at [Investor.gov/CRS](https://www.investor.gov/crs), which also provides some educational materials.

**Item 2: Relationships and Services**

What investment services and advice can you provide me?

DCM offers investment supervisory services to retail investors, including individuals, trusts, estates, foundations, charitable organizations, corporations, pension and profit-sharing plans, and IRAs. We gather information regarding your goals, investment objectives, and risk tolerance through personal discussions with you. Your individual situation is taken into account to create and manage an investment portfolio within which we make investments on your behalf.

We review your account continuously and monitor cash balances and all actively traded stocks, fixed income securities and other investments held in your portfolio on a daily basis. We have discretionary authority to decide which securities to purchase and sell for your account. You may impose limits on our authority as to asset class, sector, industry, or individual security selections.

We have to act in your best interest and not put our interest ahead of yours. At the same time, we may create some conflicts with your interests or have you pay additional fees outside of our advisory fee. You should understand and ask us about these conflicts. For additional information on the above item, please see our SEC Form ADV, Part 2A brochure Items 4, 7, 13, and 16.

*Conversation Starters Include:* (1) Given my financial situation, should I choose an investment advisory service? (2) How will you choose investments to recommend to me? (3) What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?

**Item 3: Fees, Costs, Conflicts, and Standard of Conduct**

What fees will I pay?

Our clients pay us investment advisory fees as a percentage of assets under management. These fees are paid quarterly, based on each respective quarter end account market value of your account. Our normal annual fee for clients starts at 1% on a minimum account size of \$500,000. This fee percentage will decrease as the size of the account increases. Both investment advisory fees and fee minimums are negotiable. You may also pay us fees for investing in ETF's of mutual funds. We do not accept any compensation or commissions from products such as mutual funds with load charges, annuities, insurance contracts, mortgages, et.al. We do not charge performance based fees in any manner.

Our advisory fee is typically not the only fee clients will pay. The broker-dealer/custodian on your account may charge you transaction fees for executing trades in your account. The mutual funds and ETF's we select for your account will incur their own internal fees and expenses. 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 overtime. Please make sure you understand what fees and costs you are paying. Additional information about our fees, please see Item 5 of our Form ADV Part 2A.

*Conversation Starters:* What are your legal obligations to me when acting as my investment adviser? How else does your firm make money and what conflicts of interest do you have?

**When we act as your investment adviser**, we have to act in your best interest and not put our interest ahead of yours. We do not advise or recommend any proprietary products. 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 is an example to help you understand what this means: We charge an investment advisory fee based on the asset value of the assets we manage. We may therefore have an incentive to recommend adding assets to an account, as that increases the fee you pay us. For additional information regarding conflicts of interest please see items 6, 10 and 11 in our Form Adv Part 2A.

*Conversation Starters Include:* (1) Help me understand how these fees and costs might affect my investments. If I give you \$10,000 to invest, how much will go to fees and costs, and how much will be invested for me. (2) How might your conflicts of interest affect me, and how will you address them?

How do your investment professionals make money?

Our investment professionals all have an ownership stake in the firm. They are paid a modest base salary and divided any of the firm's profits over time. As compensation is directly correlated to asset values, a conflict could arise through the incentive to recommend that you invest more money with us. We have no commissioned compensation.

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

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

No. DCM, LLC and its employees have not been subject to any legal or disciplinary events. You can visit [Investor.gov/CRS](http://Investor.gov/CRS) for researching financial firms and their professionals. *Conversation Starter:* As a financial professional, do you have a disciplinary history? For what type of conduct?

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

Additional information about DCM and copies of our ADV forms and this relationship summary are available on the SEC's website or by requesting them from us at 212-986-4040. You can find this and other information about DCM on the SEC's Investment Adviser Public Disclosure website at [www.investor.gov](http://www.investor.gov). If you would like to speak with us about our relationship with you, please call our office at (212) 986-4040. Additionally, you can visit our firm's website at [www.delta-capital.com](http://www.delta-capital.com) for more information on DCM. Here are some *common conversation starter questions* regarding this disclosure document: Who is my primary and backup 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?