

# COURT PLACE ADVISORS LLC



Form ADV Part 3– Client Relationship Summary

March 20, 2024

## **Item 1: Introduction**

Court Place Advisors, LLC (“Court Place”) is an investment adviser registered with the Securities and Exchange Commission. Investment advisory services and brokerage services and fees differ and it is important for you to understand the differences. There are free and simple tools available to research firms and financial professionals at [www.investor.gov/CRS](http://www.investor.gov/CRS) which also provides educational materials about investment advisors, broker-dealers and investing.

## **Item 2: Relationships and Services**

### *What investment services and advice can you provide me?*

Court Place offers its investment advisory services to retail investors, for an annual fee based on the value of your account. Our services include investment and portfolio management, retirement planning, estate planning, financial planning, tax planning and charitable gifting. Upon engaging us as your advisor, we will meet with you to understand your financial objectives and risk tolerance. We will then begin to build a portfolio of investments that is continually monitored to meet your needs, goals and objectives. We manage accounts on a discretionary basis, which means we have your authority to buy/sell in your account. We do not require a minimum account size.

Please see our Form ADV part 2A (Brochure), Items 4, 5, 7, 13 & 16, located on our website under disclosures [www.courtplaceadvisors.com](http://www.courtplaceadvisors.com).

### *Questions to Ask Us:*

- *Given my financial situation, should I choose an investment advisory service? Why or why not?*
- *How will you choose investments to recommend to me?*
- *What is your relevant experience, including your licenses, education, and other qualifications? What do those qualifications mean?*

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

### *What fees and costs will I pay?*

For our portfolio management services, you are charged an annual advisory fee based on a percentage of your assets under management, according to the following fee schedule:

<u>Account Value</u>	<u>Annual Fee</u>
\$0 - \$250,000	1.50%
\$250,001 - \$1,000,000	1.25%
\$1,000,001 - and up	1.00%

This fee is charged in advance, on a quarterly basis, based on the fair market value of your account at the end of the previous quarter. We deduct fees directly from your account as stated in our Management Agreement. The amount of

assets in your account affects the advisory fee. The more assets there are in your advisory account, the more you will pay in advisory fees. As a result, we may, therefore, have an incentive to encourage you to increase the assets in your account. Our fees vary and are negotiable. The fee charged for the Financial Planning Services, charged quarterly in advance, will vary based on the level and scope of the services provided to the client, but generally will range from \$500 to \$2,000 per project. Please also see our Form ADV part 2A, Items 5, 7 & 8.

Other costs you may incur include: transaction fee charged by the broker-dealer (custodian) for each buy/sell in the account, and fee charged by the broker-dealer for certain investments such as exchange traded funds and/or mutual funds.

You will pay fees whether you make or lose money on your investments. Fees and costs will reduce any amount of money you make on your investments over time. Please make sure that you understand the fees and costs you are paying.

*Questions to Ask Us:*

- *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?*

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

As your investment advisor, we have to act in your best interest and not put our interest ahead of yours. At the same time, the way we make money creates some conflicts with your interests. You should understand and ask us about these conflicts because they can affect the investment advice we provide you. Here are some examples to help you understand what this means:

- We earn our money from the advisory fees that we collect from your accounts each quarter. Our Investment Advisor Representatives are either paid a fixed salary as an employee, or, on a quarterly basis, a portion of the advisory fees we collect from you.

Additional information about our conflicts of interest can be found in our ADV part 2A Item 11.

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

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

No, neither our firm nor our financial professionals have any legal or disciplinary history to report. You can visit [www.Investor.gov/CRS](http://www.Investor.gov/CRS) for free and simple search tools to research our firm and our financial professionals.

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

If you have additional questions about our firm's investment advisory services, please go to [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD #108545. You may also call our office at (410) 4654321 and speak with any one of our experienced professionals.

*Questions to Ask Us:*

- *Who is my primary contact?*
- *Is he or she a representative of an investment advisor or a broker-dealer?*
- *Who can I talk to if I have concerns about how this person is treating me?*