

Diker Management, LLC
FORM CRS – CUSTOMER RELATIONSHIP SUMMARY
June 30, 2020

Diker Management, LLC (“Diker”) is registered with the Securities and Exchange Commission (SEC) as an investment adviser. Brokerage and investment advisory services and fees differ, 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, which also provides educational materials about broker-dealers, investment adviser, and investing.

Relationship and Services

What investment services and advice can you provide me?

Diker provides investment advisory services to retail investors, including Separate Accounts (“Clients”) for individuals, high net worth individuals and associated trusts, estates, or charitable institutions, and corporations or business entities. Diker also advises a privately offered pooled investment vehicle (the “Fund”). Upon commencing a Separate Account relationship, Diker identifies specific investment objectives and/or restrictions to govern the advisory relationship. Each Client's assets will be invested in various securities across the capital structure according to Diker’s investment research and the Client's specific risk profile.

Diker’s standard services include monitoring and advising on Clients’ investment portfolios on a continuous basis.

Diker has been granted discretionary authority by certain Clients to determine, without specific consent, the securities to be bought or sold and the amounts of those securities. Diker also maintains nondiscretionary authority over certain Client accounts, which means that investments are made only with Client consent.

Diker does not limit its advisory services to proprietary products or to a particular asset class.

Diker generally requires a minimum of \$5,000,000 to open a Separate Account; however, Diker reserves the right to waive this minimum.

More detailed information about Diker services is available on Part 2 of our Form ADV, which is available at <https://adviserinfo.sec.gov/firm/summary/119786>.

Conversation Starters:

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

Fees, Costs, Conflicts, and Standard of Conduct

What fees will I pay?

Diker charges an investment management fee that is based on the value of each Separate Account client’s assets under management. Fees are negotiable and range between 0.4% and 1% annually, depending on the size and complexity of each Separate Account. Fees are charged quarterly in arrears, based on average of the account value during the quarter. Diker’s fees generally increase as Client accounts grow, so we have an incentive to encourage our clients to increase the amount of assets in the accounts that are under our management. Additional information about our firm’s fees are included in Item 5 of Part 2A of Form ADV, available at <https://adviserinfo.sec.gov/firm/summary/119786>.

In addition to Diker’s investment management fee, clients bear transaction fees when we buy or sell investments. Clients also pay fees to the broker-dealer or bank that maintains each account (called “custody” fees). Our firm also selects and purchases exchange-traded funds for a portion of Clients’ portfolios. Such investment vehicles pay their own management, transaction, and administrative fees and expenses, and those

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fees and expenses are indirectly borne by the investors in those vehicles, including Diker's Clients.

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

Conversation Starter: 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 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. 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 to you. Here are two examples to help you understand what this means.

- The greater the amount of assets in a Separate Account, the more a Separate Account investor will pay in fees, and the firm may therefore have an incentive to encourage an increase in account assets.
- We may have an incentive to recommend an investment in our Fund, whereby you would incur additional Fund-level management and performance-based fees charged by Diker.

More detailed information about conflicts of interest between Diker and its clients is available on Part 2A of our Form ADV, which is available at <https://adviserinfo.sec.gov/firm/summary/119786>.

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

How do your financial professionals make money?

Diker's financial professionals receive a salary and may receive a discretionary bonus. Compensation is set with the intention of attracting and retaining highly qualified professionals. Compensation is based on a variety of factors, including the number, value, and complexity of accounts under management, the performance of those accounts, and client satisfaction and retention.

Disciplinary History

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

No. We do not have legal or disciplinary events to disclose. You can research CEFA and our financial professionals using the free and simple search tool available at <https://www.investor.gov/CRS>

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

Additional Information

Updated Additional information about our services can be found at <https://adviserinfo.sec.gov/firm/summary/119786>. If you have any questions about the contents of this brochure or would like to request a copy of this relationship summary, please contact Ken Brower at (212) 904-0321.

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