

Nine Thirty Capital Management, LLC
FORM CRS – CUSTOMER RELATIONSHIP SUMMARY
June 30, 2020

Item 1. <u>Introduction</u>	Nine Thirty Capital Management, LLC 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.
Item 2. <u>Relationships and Services</u>	What investment services and advice can you provide me? We typically offer investment advisory services to high net worth families, focusing on portfolio management, asset allocation, direct investments and placement of capital with third-party asset managers. Such managers may include hedge funds, fund-of-funds and other investment funds, and managers of managed accounts. In addition, our firm may provide investment advisory services with respect to private equity and venture capital investments and actively participates in certain of these investments. Advice is generally limited to the foregoing investments. Monitoring Our clients' portfolios are reviewed at least quarterly by the President and Chief Executive Officer/Chief Compliance Officer and professional staff members to determine that the investments held by each client account are consistent with their stated investment objectives. More frequent reviews may be performed based on investment performance, market conditions, liquidity considerations and other factors. Investment Authority Our clients typically grant us ongoing discretionary authority to manage their accounts, subject to the terms of the applicable operating and management agreement. This means that we can buy and sell investments on behalf of our clients without seeking permission on a trade by trade basis. However, as each account is customized to tailor the clients' investment and risk profile, such clients participate in providing parameters regarding position size, manager or strategy exposure and liquidity guidelines. Nine Thirty Capital generally reviews its recommendations with client accounts prior to making investments and changes related to portfolio rebalancing. Account Minimums and Other Requirements Nine Thirty Capital has a minimum Client Account size of \$50,000,000, which amount may be waived at its discretion, such as if the account is part of a larger relationship. Additional information about Nine Thirty Capital Management, LLC's services is available on Part 2 of our Form ADV, which is available at https://adviserinfo.sec.gov/firm/summary/130545. Conversation Starters. Ask your financial professional— • 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 these qualifications mean?
Item 3. <u>Fees, Costs, Conflicts, and Standard of Conduct</u>	A. What fees will I pay? Nine Thirty Capital Management, LLC charges clients a standard investment management fee of 1.5% of each client's assets under management. Fees are negotiable at our firm's discretion, depending on the size and complexity of each client's accounts. Fees are charged quarterly in advance, based on the value of the client's account as of the close of the previous business quarter. Additional information about our firm's fees are included in Item 5 of Part 2 of Form ADV, available at https://adviserinfo.sec.gov/firm/summary/130545. In addition, because our firm places client assets with third-party asset managers, there are generally additional management and incentive fees to the stated managers in addition to the fees payable to Nine Thirty Capital. Further, our firm charges Client Accounts a performance fee equal to 10% of annual net appreciation whether such appreciation is realized or unrealized, subject to a loss carry forward. The performance fee, if any, is paid annually.

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	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. Ask your financial professional— • 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?
Item 3. <u>Fees, Costs, Conflicts, and Standard of Conduct</u>	B. 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? <i>When we act as your investment adviser,</i> 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 some examples to help you understand what this means. • We manage accounts for multiple clients, and we allocate our time based on each client’s needs. Our firm earns more as we expand our client base and grow our assets under management, and we seek to balance our staffing with the individualized needs of each client. • Since we charge a performance fee to Client Accounts, this may create an incentive for us to make investments on behalf of our clients that are riskier or more speculative than would be the case absent this compensation. Conversation Starter. Ask your financial professional— • How might your conflicts of interest affect me, and how will you address them? Additional information about conflicts of interest between Nine Thirty Capital Management, LLC and its clients is available on Part 2 of our Form ADV, which is available at https://adviserinfo.sec.gov/firm/summary/130545. How do your financial professionals make money? Nine Thirty Capital Management, LLC’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.
Item 4. <u>Disciplinary History</u>	Do you or your financial professionals have legal or disciplinary history? No, none of Nine Thirty Capital’s financial professionals have a legal or disciplinary history. Visit Investor.gov/CRS for a free and simple search tool to research us and our financial professionals. Conversation Starter. Ask your financial professional— • As a financial professional, do you have any disciplinary history? For what type of conduct?
Item 5. <u>Additional Information</u>	Additional information about our services can be found at https://adviserinfo.sec.gov/firm/summary/130545. If you have any questions about the contents of this brochure or would like to request a copy of this relationship summary, please contact Stuart J. Rabin at 212-884-8808. Conversation Starter. Ask your financial professional— • 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?