

Socius Family Office, LLC is a registered investment advisor with the SEC. We are an investment advisor and provide advisory accounts and services rather than brokerage accounts and services. It is important to understand the differences and fees charged for such. For your convenience, free and simple tools are available to research firms and financial professionals at [Investor.gov/CRS](https://www.investor.gov/crs), which also provides educational materials about broker-dealers and investing.

What investment services and advice can you provide me?

Socius Family Office ("Socius") provides investment advice and financial planning, in addition to various other wealth management services (such as personal accounting, accounts payable, treasury, and consolidated reporting). When given discretionary authority over investment assets, Socius will exercise judgment on the amount and timing of securities to be bought or sold and the particular broker-dealer to clear and custody securities transactions. Investment decisions are based upon client return expectations, risk tolerance, time horizon, tax situation, liquidity requirements, legal constraints, and any unique considerations. In non-discretionary engagements, Socius will reconcile and monitor existing investments. For non-investment services, we often will establish a bank account on your behalf and retain authority to make disbursements from the account per your instructions. The client will always be an additional authorized party on any owned bank account, and Socius's ability to transact in the account may be revoked at any time.

Some questions you might ask one of our representatives

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

What fees will I pay?

Socius charges advisory fees for investment advice and non-investment services. For investment advice, the fee is generally an agreed upon percentage of the assets under advisement. Fee breakpoints for investment advice can be negotiated based on the value of assets. For non-investment services, the fee is generally an agreed upon flat fee based on the scope of work involved. Some clients engage Socius for both investment and non-investment services, while some engage the firm for one or the other. The asset-based fee structure could result in a potential conflict of interest, as the more assets in a client's advisory account, the more the client will pay in fees; the firm may therefore have an incentive to encourage the client to increase the assets in his or her account.

Clients will incur charges imposed by custodians, brokers, third-party investment managers and other third parties, in addition to the fees charged by Socius. These fees can include trade commissions, subadvisor fees, wire fees, and other fees. Mutual funds, exchange-traded funds and private investment funds are subject to their own respective expenses, which are disclosed within the respective investment offering documentation. Socius does not engage in any "soft dollar" agreements and does not receive any portion of these additional costs, 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 over time. Please make sure you understand what fees and costs you are paying.

A question you might ask one of our representatives

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 you. Here is an example to help you understand what this means; Socius is owned by Alterna Financial LLC who also owns several other affiliated entities. Any business you engage in with the affiliated companies may benefit the parent company.

Please refer to our Form ADV Part 2A Items 5, 10, 12, and 14 to help you understand what conflicts exist.

A question you might ask one of our representatives

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

How do your financial professionals make money?

Socius's financial professionals are compensated in cash, receiving either a fixed salary and discretionary bonus and/or a portion of the revenue generated from client engagements. Some professionals are also compensated with equity ownership in the company. No compensation is derived from sales of a particular investment product. Retainer-based fees are generally determined by scope of work and the time/complexity required to meet a client's needs. Increased demands on the firm's time will result in higher annual fees.

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

Yes. Investor.gov/CRS can be used as a free and simple search tool to research us and all our financial professionals.

A question you might ask one of our representatives

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

You can request up-to-date information about our firm, additional information about our services as well as a copy of our relationship summary by contacting:

**Mark Baniewicz, CEO, CCO
561-404-0484
200 E Las Olas Blvd, Suite 1550
Fort Lauderdale, FL 33301**

A question you might ask one of our representatives

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?