

## Wall Street Investment Management, LLC-Client Relationship Summary

Dated: Dec 16, 2022

### Making Investing Easier to Understand:

Wall Street Investment Management, LLC is an Investment Advisor registered with SEC. We offer a variety of investment management services to help clients meet their financial goals. This Client Relationship Summary (CRS) is designed to provide answers to many common questions and help you start a conversation with our financial professionals. Visit [investor.gov/CRS](https://investor.gov/CRS), a site created by the SEC, for free and simple tools to help you research firms and financial professionals. You'll also find educational materials about broker-dealers, investment advisers and investing. *Brokerage and investment advisory services and fees differ and that it is important for the retail investor to understand the differences.*

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

We offer investment advisory services discussing how your individual needs and preferences would help determine which services/strategies are right for you. You'll receive investment advice from us as a fiduciary. This means we are subject to an ongoing duty of loyalty and care and must not place our interests ahead of yours. We'll help you build a portfolio that aligns with your goals, based on information you share about your investing objectives, needs and preferences. We'll monitor the investments on an ongoing basis. We will also execute trades and provide other services, such as periodic performance reporting as appropriate. You'll pay investment advisory fees based on assets we manage for you, This fee covers our Investment Advisory fees and does not cover fees that the broker or brokerage platform will charge (for execution, custody, clearing and settlement) for every trade we make or margin and short interest that the brokers may charge for the strategies we employ. *Brokerage and investment advisory services and fees differ and that it is important for the retail investor to understand the differences.*

Our investment Management Service is a discretionary program which means the investment manager/advisor makes the decision about the purchase or sale of each asset on your behalf. For certain types of investments there are minimum amounts required.

*Questions to ask to start a conversation...*

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?

### What fees will I pay?

Fees vary by the amount of money you have invested under our management. *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.* Account fees may involve service and maintenance fees and be charged at different times. For example, brokerage transaction fees are charged when you buy or sell a security. Maintenance fees are generally charged once each year by the broker. Investment Advisory fees vary in percentage or frequency of billing. Fees are shown in brokerage statements billing invoices and

transaction confirmations. For some products, such as ETFs, there is an inbuilt fee/expense ratio that is automatically deducted upon investing in such products and that fee/expense goes directly to the company that manages the ETF/Product. While investing in Mutual Funds, you may pay a fee when you sell the fund before you've held it for a minimum amount of time. Some investment products, such as mutual funds, annuities and alternative investments, charge ongoing fees for as long as you hold them.

*Questions to ask to start a conversation...*

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 are some examples to help you understand what this means.*

– We may recommend brokerage or investment services in a foreign country where the owner of Wall Street investment Management, LLC has ownership interest in such firms resulting in either direct compensation or indirect increase in valuation of those firms in which the owner has interest. This gives us an incentive to recommend such firms or their services. We may also receive non-monetary benefits for using broker/dealer or financial firms recommended by us.

*Questions to ask to start a conversation...*

How might conflict of interest affect me and how you will address them?

**How do your financial professionals make money?**

We compensate our financial professionals by allocating all or a portion of the investment advisory fees earned by the firm. Their compensation is not directly tied to the frequency of client trading or the amount of client assets in investment advisory programs.

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

No. Visit [investor.gov/CRS](http://investor.gov/CRS) for a free and simple search tool to research our firm and our financial professionals.

For additional information about our services, visit [www.wallstim.com](http://www.wallstim.com) or call us at +1-703-728-3380 with any questions or to request a copy of this document.

*Questions to Ask to Start the Conversation...*

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?

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