

## Form CRS (Customer Relationship Summary)

### Item 1 – Introduction

Chicago Partners Investment Group, LLC (“we”, “us” or “our”) is registered with the U.S. Securities Exchange Commission (“SEC”) as an investment adviser. Investment advisory services and compensation structures differ from that of a registered broker-dealer, and it is important that you understand the differences. Free and simple tools are available to research firms and financial professionals at [www.Investor.gov/CRS](http://www.Investor.gov/CRS). The site also provides educational materials about broker-dealers, investment advisers and investing.

### Item 2 – Relationships and Services

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

We provide investment advisory services, including discretionary and or non-discretionary investment management and financial planning services, to individuals, trusts and estates (our “retail investors”). When a retail investor engages us to provide investment management services, we shall monitor, on a continuous basis, the investments in the accounts over which we have authority as part of our investment management service. Furthermore, when engaged on a discretionary basis, we shall have the authority, without prior consultation with you (unless you impose restrictions on our discretionary authority), to buy, sell, trade and allocate the investments within your account(s) consistent with your investment objectives. If you engage us on a non-discretionary basis, we cannot effect any transactions for your account without your prior consent. Our authority over your account(s) shall continue until our engagement is terminated.

We offer financial planning on a stand-alone basis or as part of our standard investment advisory engagement. Additionally, we can be engaged to provide financial planning, wealth management and retirement plan consulting services on a separate fee basis. When we provide financial planning and consulting services, we rely upon the information provided by the client for our financial analysis and do not verify any such information while providing this service. We also offer an automated digital wealth (Optimized Intelligent Portfolios) platform for certain clients. Representatives of our firm are available to speak with digital wealth platform clients. We also manage affiliated private investment funds which are subject to a separate advisory fee. Clients who participate in our private investment funds are not charged a separate advisory fee on these positions. We do not limit the scope of our investment advisor services to proprietary products or a limited group or type of investment.

**Additional Information:** For more detailed information about our *Advisory Business* and the *Types of Clients* we generally service, please See Items 4 and 7, respectively in our ADV Part 2A.

#### **Conversation Starters:**

*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 – Fees, Costs, Conflicts, and Standard of Conduct

#### **What Fees will I pay?**

We provide our investment advisory services on a fee basis. When engaged to provide investment management services, we shall charge a fee calculated as a percentage of your assets under our management (our “AUM Fee”). Our annual AUM Fee may vary by program, but generally ranges from between 0.30% and 1.25%. Our digital wealth program is subject to a maximum 0.65% annual fee. We generally require a minimum asset level of \$1,000,000 and our minimum annual fee is \$5,000 in connection with our investment management services. These minimums may vary by program. We typically deduct our AUM Fee from one or more of your accounts, in advance or in arrears, on a quarterly basis. Because our AUM Fee is calculated as a percentage of your assets under management, the more assets you have in your advisory account, the more you will pay us for our investment management services. Therefore, we have an incentive to encourage you to increase the assets maintained in accounts we manage. We offer our financial planning services on a negotiated fee basis, based upon the nature of the services to be provided. The fee for any subsequent work shall be agreed to prior to commencing the engagement.

A copy of our Part 2A is available at:

[https://files.adviserinfo.sec.gov/IAPD/Content/Common/crd\\_iapd\\_Brochure.aspx?BRCHR\\_VRSN\\_ID=830571](https://files.adviserinfo.sec.gov/IAPD/Content/Common/crd_iapd_Brochure.aspx?BRCHR_VRSN_ID=830571)

**Other Fees and Costs:** Your investment assets will be held with a qualified custodian. Custodians generally charge brokerage commissions and/or transaction fees for effecting certain securities transactions. In addition, relative to all mutual fund and exchange traded fund purchases, certain charges will be imposed at the fund level (e.g. management fees and other fund expenses). In certain situations, custodians may charge an asset-based fee based on the amount of assets custodied in your account. This fee may be higher than if your account were charged on a transactional basis. If a third-party investment adviser is recommended, you may pay an additional fee to the third-party adviser as detailed in their disclosure documentation. 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. **Additional Information:** For more detailed information about our fees and costs related to our management of your account, please See Item 5 in our ADV Part 2A.

*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?**

When we act as your investment adviser, we must 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. As an example, we may recommend a particular custodian to custody your assets, and we may receive support services and/or products from that same custodian, certain of which assist us to better monitor and service your account while a portion may be for the benefit of our firm. We also participate in the TD Ameritrade Referral program, which may encourage us to direct clients to that custodial platform.

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

**When we are acting as your investment advisor,** we are required to act in your best interest and not put our interest above yours. At the same time, the way we are compensated creates some conflicts with your interests. We want our clients to understand and ask about these conflicts because they can affect the investment advice we provide.

- Retirement Plan Rollovers to an IRA: our advisory fees may be higher than that of your current retirement plan.
- Margin – margin increases the account size, if used to purchase more securities, and would be subject to our advisory fee.

**Additional Information:** For more detailed information about our conflicts of interest, please review our ADV Part 2A.

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

Our financial professionals are compensated on a salary and discretionary bonus basis. Certain of our financial professionals, based upon their ownership interest in our firm, will receive a profit distribution. You should discuss your financial professional's compensation directly with your financial professional. Three of our representatives who are licensed insurance agents are separately compensated with insurance commissions. One employee receives separate compensation for estate planning.

### **Item 4 – Disciplinary History Do you or your financial professionals have legal or disciplinary history?**

No. We encourage you to visit [www.Investor.gov/CRS](http://www.Investor.gov/CRS) to research our firm and our financial professionals. Furthermore, we encourage you to ask your financial professional: *As a financial professional, do you have any disciplinary history? If so, for what type of conduct?*

### **Item 5 – Additional Information**

Additional information about our firm is available on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). You may contact our Chief Compliance Officer at any time to request a current copy of your ADV Part 2A or our *relationship summary*. Our Chief Compliance Officer may be reached by phone: (312) 284-6363.

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

A copy of our Part 2A is available at:

[https://files.adviserinfo.sec.gov/IAPD/Content/Common/crd\\_iapd\\_Brochure.aspx?BRCHR\\_VRSN\\_ID=830571](https://files.adviserinfo.sec.gov/IAPD/Content/Common/crd_iapd_Brochure.aspx?BRCHR_VRSN_ID=830571)