

Rothschild & Co Wealth Management UK Limited

Form CRS – Form ADV Part 3

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Rothschild & Co Wealth Management UK Limited is registered with the Securities and Exchange Commission as an investment adviser. This Relationship Summary is on our website at www.rothschildandco.com and is filed with the SEC at www.adviserinfo.sec.gov (please search under our name). Brokerage and investment advisory services and fees differ, and it is important for you to understand these differences. Free, simple tools are available to research firms and financial professionals at Investor.gov/CRS, which provides educational materials about brokers, investment advisers and investing.

What investment services and advice can you provide me?

We offer **investment advisory** (asset management) services primarily to high-net-worth individuals, trusts, companies, charities, and pensions. The minimum client relationship size is USD 10,000,000, although we may accept smaller amounts at our discretion based on a client's circumstances. We offer discretionary investment management services to our U.S.-resident clients via segregated mandates. This means that you give us written authority to make investment decisions without consulting you, until you or we end the relationship. Our investment strategies range across six risk profiles: low risk, cautious, balanced, equity risk, return-assets and conviction equity. Clients subscribe to a portfolio strategy that is suitable to their needs and objectives, and each strategy and risk profile has a specified investment return objective. Assets held within the portfolio may include equity securities, bonds, currencies, ETFs, government securities, funds and commodities. Where necessary, we may hedge accounts with foreign exchange transactions and put options. We invest mainly in investment grade bonds and primarily in securities whose underlying issuer has a rating of "BBB" or better from at least one major rating agency.

As part of our standard services, we monitor investments and portfolios regularly and review them on a weekly basis. Portfolio performance may differ based on client strategy and restrictions, which ultimately determine the investments held.

Information about our licenses and the education and other qualifications of our investment professionals is set forth in our Form ADV Part 2B. More information about our services is available in our [Form ADV Part 2A, Items 4, 7 and 8](#).

Conversation Starter. *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?*

What fees will I pay?

Our fees are charged as a percentage of assets under management. The management fee is collected quarterly in arrears at the end of the quarter and based upon month-end portfolio values of a three-month period. We negotiate fees and may adjust this fee up or down at our discretion depending on an individual client's situation; the fee is recorded in the client agreement. As our fee is based on the value of the assets we manage for you, we have an incentive to encourage you to increase the assets in your account.

Our fees are exclusive of third-party costs (brokerage commissions, transaction costs, and custody fees) and other related market or third-party costs and expenses that are incurred by the client. Custody fees and brokerage charges levied by the custodian (appointed by the client) are set out in the client-custodian agreement. Our Form ADV (Part 2A, Item 12) describes the factors that we consider in selecting brokers or counterparties for transactions and determining their commissions and fees.

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.

More information about our fees and costs is available in our [Form ADV Part 2A, Item 5](#).

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 interests 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.

As a fiduciary, we act in your best interests. We have a legal obligation under the antifraud provisions of the U.S. Investment Advisers Act of 1940, and the rules thereunder, and we are subject to the SEC's Standard of Conduct Interpretation. This includes the duties of loyalty and care, best execution, the disclosure of material facts (such as conflicts of interest and the means to mitigate them), suitability and a reasonable basis for recommendations.

Examples of our conflicts of interest include: the receipt of gifts and entertainment; the potential to exploit non-public, price-sensitive or confidential client information for personal gain; favoring certain brokers for execution; preferential treatment of one client over another; using a connected firm for foreign exchange client orders; using a connected firm to perform valuations of clients' portfolios; and using a connected firm to provide these services may result in our wider group earning revenue from that arrangement, which gives us an incentive to select a connected firm over an unaffiliated alternative. We make money based on the fees that we charge, as noted above.

More information about our conflicts of interest is available in our [Form ADV Part 2A](#).

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

How do your financial professionals make money?

We compensate our investment professionals with a salary and a discretionary bonus, and not with non-cash compensation. The discretionary annual performance bonus award plan (the "Plan") is designed to reward performance in line with the business strategy, objectives, values, and long-term interests of the Firm.

Plan bonus pools are determined using several measures, including, among other factors, financial performance (after the deduction of any impairment of financial instruments), regulatory compliance, external market and economic conditions, and other factors that appear relevant in the opinion of the Remuneration Committee. Individual bonuses are set using financial and non-financial metrics, and qualitative individual performance is assessed through our annual performance process. The Plan has a deferred element: a proportion of variable remuneration is deferred/retained based on the individual's seniority, the amount of variable remuneration received, and the individual's regulated status. Any deferred/retained variable remuneration is held in cash and vests over a three-year period. This creates a conflict of interest as bonus pools take account of the firm's financial performance, so our professionals have an incentive to encourage you to increase the assets we manage for you. We consider both financial and non-financial metrics, as well as the deferred element for certain individuals, to align our professionals' interests with your long-term interests and to mitigate this conflict.

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

No.

We encourage you to visit Investor.gov/CRS for a free and simple search tool to research us and our financial professionals.

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

Additional Information

For additional information about our services, or to request an up-to-date copy of this Relationship Summary and our Form ADV Part 2A, please contact us at wmukadvisorycomplianceteam@rothschildandco.com or +44 207 280 5000, or visit our website at www.rothschildandco.com. Your primary contact person is Tara O'Hagan. If you have any concerns about us or this person, you may contact Melanie Troop at the e-mail address or phone number above.

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?*

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