

Form ADV Part 3 - Client Relationship Summary

June 30, 2020

Introduction

Collega Capital Management is an investment adviser registered with the Securities and Exchange Commission offering investment advisory services. This document gives you a summary of the types of services and fees we offer. You may visit www.investor.gov/CRS for free and simple tools to research firms and financial professionals. This website also provides educational materials about broker-dealers, investment advisers, and investing.

Relationship and Services

“What investment services and advice can you provide me?”

We offer investment advisory services to high-net-worth investors. We manage and monitor your portfolio continuously according to your Investment Policy Statement, which we will prepare for you at the beginning of our relationship, according to your risk profile, investment objectives, and other financial planning considerations. We may have discretionary authority to decide which securities to purchase and sell in your portfolio, account and you may impose limits on our authority as to asset class, sector, industry, or individual security selections. We generally require a minimum amount of \$5,000,000 of assets under management. This minimum may be waived in certain situations.

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 licenses, education, and other qualifications? What do these qualifications mean?

Fees, Costs, Conflicts, and Standard of Conduct

“What fees will I pay?”

Fees are computed as a percentage of the market value of assets under management as of the last day of each calendar quarter. Market value is based on trade date valuation and includes accrued interest. The rates on certain portfolios may be negotiable depending upon the size of the account and type of service. Fees for existing clients may be higher or lower than current posted rates. Fees are payable quarterly in advance. Our investment management services are continuous but may be terminated at any time by either party upon written notice. Fees paid in advance will be prorated to the date of termination and any unearned portion will be refunded. You may incur brokerage commissions, transaction fees, and administrative charges imposed by custodians and broker-dealers. We may use mutual funds or exchange-traded funds to fill specific portfolio needs. If we use these funds, you will incur the fund's management and administrative fees, plus our investment management fees. We do not charge performance-based fees.

Disciplinary History

“Do your financial professionals have legal or disciplinary history?” Collega Capital Management and its employees have not been subject to any legal or disciplinary events.

Additional Information

If you would like additional, up-to-date information, please call us office at 809 855 5750.