Riverstone Asset Management, LLC
June 23, 2026

Form CRS

Introduction

Riverstone Asset Management, LLC is registered with the Securities and Exchange Commission as an investment advisor. Fees for brokerage and investment advisory services differ among broker-dealers and investment advisors and it is important you understand the differences. Free and simple tools are available to research firms and financial professionals at Investor.gov/CRS, which also provides educational materials about broker-dealers, investment advisors, and investing.

What investment services and advice can you provide me?

We offer investment advisory services to retail investors, which include portfolio management services. We provide periodic advice and reviews regarding your investment goals and objectives, personal balance sheet, tax planning, risk management, retirement, education, cash flow and investment planning. In our portfolio management services, we will monitor your investment accounts on an ongoing basis over which you provide us with such authority and provide advice. In your investment advisory agreement with us, you give us discretion to determine the investments to buy and sell on your behalf and the authority to select other investment advisers on your behalf, which means we will make the ultimate decision regarding the investments purchased and sold in your account. This authority continues until revoked due to closure of the account or in writing. If you do not provide us with discretion, then we will make recommendations which you will have the final decision regarding implementation. You may impose reasonable restrictions on our discretionary authority. Our investment advice is limited to the products available at your selected custodian. We generally recommend portfolios consisting of mutual funds offered by DFA. We do not have any requirements regarding accounts size or fee minimums for retail investors to do business with us.

We will discuss the following questions with you to help you better understand the relationship you will have with our firm: *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?*

Please refer to our Form ADV, Part 2A Brochure for more detailed information on our services.

What fees will I pay?

We charge a fee for our advisory services. Those fees are calculated as a percentage of assets under management for portfolio management services and Employee Benefit Retirement Services. These fees are assessed on a quarterly basis, and paid by you in advance. You should be aware that the more assets there are in your account, the more you will pay in fees. This means we have an incentive to encourage you to increase the assets in your account.

In addition to our fees, you may incur additional fees and costs related to the investments in your account, such as custodian fees, account maintenance fees, transaction costs, surrender charges, wire transfer and electronic fund fees, internal management fees of mutual funds and variable annuities, and other product related fees such as redemption 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.

You should carefully review our Form ADV, Part 2A Brochure to understand the fees and costs you will pay to us.

We will discuss the following questions with you to help you better understand the impact of fees and costs on investments: *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?"*

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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 advisor, 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 recommend mutual funds whose investment companies provide us with educational information and software that provides information helpful in our investment advice process. This is a conflict because we have an incentive to recommend mutual funds that provide us with these tools.
- We are affiliated with the accounting firm, Louis T. Roth & Co., PLLC. Louis T. Roth & Co., PLLC may recommend us to accounting clients in need of advisory services, and we may recommend Louis T. Roth & Co., PLLC to advisory clients in need of accounting services. We have an incentive to recommend our affiliate to you, which is a conflict of interest.
- Fidelity and Schwab make available to us other products and services that benefit us but may not directly benefit the client or its account. These products and services assist us in managing and administering our clients' accounts. They include investment research, both the custodian's own and that of third parties. We may use this research to service all or some substantial number of our clients' accounts, including accounts not maintained at those specific custodians. This is a conflict because we have an incentive to recommend these custodians to our clients due to the benefits they provide us.

We will discuss the following question with you to help you better understand the conflicts of interest we have: *How might your conflicts of interest affect me, and how will you address them?*

You should carefully review our Form ADV, Part 2A Brochure for more detailed information about our conflicts of interest.

How do your financial professionals make money?

Our financial professionals are partners of an affiliated accounting firm that owns our advisory firm. They are compensated through distributions based on the affiliated accounting firm's financial performance, which is affected by the success of the firm. This is a conflict of interest because it creates an incentive for our financial professionals to recommend our investment advisory services to you.

All individuals in our firm are associated with our affiliated accounting firm. The income derived from the accounting firm is a result from business activities other than investment advice. This is a conflict of interest because these individuals earn additional revenue when you contract their services through the accounting firm.

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

No, please visit **Investor.gov/CRS** for a free and simple search tool to research our firm and your financial professional.

We will discuss the following questions with you to help you better understand our disciplinary history: *As a financial professional, do you have any disciplinary history? For what type of conduct?*

Additional Information

You can find additional information about our advisory services in our Form ADV Part 2A Brochure and may request up-to-date information and a copy of this Relationship Summary by contacting us at 502-882-5580.

We will discuss the following questions with you so that you better understand who to contact with any questions or complaints: Who *is my primary contact person? Is he or she a representative of an investment advisor or a broker-dealer? Who can I talk to if I have concerns about how this person is treating me?*