

**Empiric Institutional, LLC**  
**Client Relationship Summary**  
**February 19, 2025**

## **Item 1: Introduction**

Empiric Institutional, LLC (“our firm”, “we”, “us”) is registered with the Securities and Exchange Commission as an Investment Advisor.

Brokerage and investment advisory services and fees differ, and it is important for the retail investor to understand the differences. Free and simple tools are available to research firms and financial professionals at [Investor.gov/CRS](https://www.investor.gov/crs), which 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?***

Our firm offers portfolio management services to retail investors as part of our standard services to retail investors. We offer this service on an on-going discretionary basis, which means we can buy and sell securities without your permission. We review your accounts at least monthly. Our firm will invest your account/s in publicly traded securities. You do have the opportunity to place reasonable restrictions on the types of investments we make on your behalf. We require you to have a minimum of \$2 million in assets to open an account with us, however, we may accept lesser amounts at our discretion.

**FOR ADDITIONAL INFORMATION REGARDING OUR SERVICES, PLEASE SEE ITEMS 4, 7, AND 13 OF OUR [FORM ADV PART 2A](#).**

Ask us the following questions:

*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?***

You will pay a quarterly management fee that is based on the assets that you have under management with our firm. While we do not charge the following, you may also pay custodial fees to the broker-dealer that holds your assets, a transaction fee when we buy or sell an investment in your account and additional fees for the no-load mutual funds and exchange traded funds we have recommended for your account. We will not charge you a management fee for the portion of assets you have invested in the Empiric Mutual Fund that our affiliate manages.

**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.**

**FOR ADDITIONAL INFORMATION REGARDING OUR FEES, PLEASE SEE ITEM 5 OF OUR [FORM ADV PART 2A](#).**

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Ask us the following question:

*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.**

The more money you invest with us, the more fees you will pay; therefore, we have an incentive to encourage you to increase your assets in your account. If your account grows, we will make more money. Conversely, if your account decreases, we will make less money.

**FOR ADDITIONAL INFORMATION REGARDING OUR CONFLICTS, PLEASE SEE ITEM 5 OF OUR FORM ADV PART 2A.**

Ask us the following question:

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

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

We pay our financial professionals a salary. They may also receive a bonus at the end of the year based on subjective criteria.

## **Item 4: Disciplinary History**

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

No. Please visit [Investor.gov/CRS](https://www.investor.gov/CRS), for a free and simple tool to research our firm and financial professionals.

Ask us the following question:

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

## **Item 5: Additional Information**

For additional information regarding our fees, services, and conflicts, please see our [Form ADV Part 2A](#), or visit our website at [www.empiricinstitutional.com](http://www.empiricinstitutional.com). Please contact us at **512-328-9321** for more up-to-date information or request a copy of this client relationship summary.

Ask us the following questions:

*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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We updated our Client Relationship Summary on February 19, 2025. Below you will find a summary of the changes made to our previous summary dated March 5, 2024.

Section Heading	Summary of Change
Item 3: Fees, Costs, Conflicts, and Standard of Conduct	Added "...our affiliate manages."