

Dec 20,2022

TA Capital Management, LLC is an investment adviser registered with the United States Securities and Exchange Commission (SEC.)

Is an Investment Advisory Account Right for You?

We provide investment advisory accounts and services. We do not offer brokerage account services. The fees associated with investment advisory accounts and services differ from those of brokerage account and services. It is important for retail investors to understand the differences between these two services and the fees they charge. Free and simple tools are available to research firms and financial professionals at [Investor.gov/CRS](https://investor.gov/CRS), which also provides educational materials about broker-dealers, investment advisers, and investing.

What Investment Services and advice can you provide me?

TA Capital management provides investment advisory services. Specifically, we provide wealth management services which is a combination of asset management services and financial planning services. We monitor client's investments on a regular basis as a part of our standard services. As a part of our standard services, you can choose an account that allows us to buy and sell investments in your account without asking you in advance (a "discretionary account") or we may give you advice and you decide what investments to buy and sell (a "non-discretionary account"). In a non-discretionary account, the client "makes the ultimate decision regarding the purchase or sale of investments". In a discretionary account, we limit purchases to ETFs and mutual funds.

TA Capital Management provides investment advice on the following types of investments: Mutual Funds, Exchange Traded Funds (ETFs), Exchange-listed Securities, Securities Traded Over-the-Counter, Foreign Issues, Corporate Debt Securities, Commercial Paper, Municipal Securities, US Government Securities, and Options Contracts on Securities.

TA Capital Management requires a minimum of \$100,000 in order to open an account. To reach this account minimum, clients can aggregate all household accounts. Exceptions may be granted to this minimum at the discretion of a client's investment adviser representative and the Chief Compliance Officer. Information about our services can be found in Items 4, 5 and 7 of our Disclosure Brochure or by going here: <https://adviserinfo.sec.gov/firm/brochure/169326>

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?

What Fees Will I Pay?

Our wealth management services provided are charged based on a percentage of assets under management, billed in advance (at the beginning of the period) on a quarterly calendar basis and calculated based on the fair market value of a client's account as of the last business day of the current billing period. We do not charge a separate fixed or hourly fee for the financial planning component of our wealth management services. Brokerage commissions and/or transaction ticket fees charged by the qualified custodian are billed directly to you by the qualified custodian. Fees charged for our services are negotiable based on the investment adviser representative providing the services, the complexity of the client's situation, the composition of the client's account, the relationship of the client with the investment adviser representative, and the total amount of assets under management for the client. You will pay fees and costs whether you make or lose money on your investments. The investment advisory fees will be deducted from a client's account and paid directly to our firm by the qualified custodian(s) of a client's account. 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. Investors should be aware that due to the nature of our asset based fee, the firm is incentivized to encourage you to increase assets you hold in your account.

Fees for wealth management services are waived for those clients who are also clients of TA Capital's affiliated firm, Total Alignment Wealth Advisors, and who subscribe to their Private Family Office with Analytics offering do not pay a fee to TA Capital Management. Through an intercompany agreement between Total Alignment Wealth Advisors and TA Capital, Total Alignment Wealth Advisors will be responsible for a preferential fee of 0.05% annum to Total Alignment Wealth Advisors Analytics Service when they elect into TA Capital's low-cost model portfolios. This arrangement shall last as long as the intercompany agreement between the two entities remains in effect and Client remains a client of the Total Alignment Wealth Advisors Analytics platform. Clients that cease to subscribe to Total Alignment Analytics Service will be notified that assets held at TA Capital Management will increase and normalize. Details about our fees can be found in Item 5 of our ADV part 2 found at <https://adviserinfo.sec.gov/firm/brochure/169326>

Conversation Starters for Potential Clients:

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 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 manage investments for other clients and give them advice or take actions for them or for our personal accounts that is different from the advice we provide to you or actions taken for you. We are not obligated to buy, sell or recommend to you any security or other investment that we may buy, sell or recommend for any other clients or for our own accounts.

Conversation Starters for Potential Clients:

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

How do your financial professionals make money?

Our advisors receive cash compensations from the revenue our firm earns from the financial professional's advisory services. An example of the incentive here is that tying compensation to the amount of advisory services results in the incentive to recommend more advisory services or spend more time on those services. Additional information about our financial professionals can be found on their respective Form ADV Part 2 Brochure Supplements that you will be provided.

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

No. Visit [Investor.gov/CRS](https://investor.gov/CRS) for a free and simple tool to research investment advisors.

Conversation Starters for Potential Clients:

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

Additional Information about TA Capital Management can be found at <https://tacapitalmanagement.com/>. To request a copy of our relationship summary call (646) 290-5560.

Conversation Starters for Potential Clients:

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?