

3J Capital Partners LTD

Form CRS Relationship Summary – June 30, 2020

3J Capital Partners LTD (“3J Capital”, “we” or “us”) is registered with the U.S. Securities and Exchange Commission (“SEC”) as a registered investment adviser.

Investment advisory services and compensation structures differ from that of a registered broker-dealer, and it is important that you understand the differences. Free and simple tools are available to research firms and financial professionals at www.Investor.gov/CRS, which also provides educational materials about broker-dealers, investment advisers, and investing.

Q | What investment services and advice can you provide me?

We provide investment advisory services, including discretionary management and financial planning to individuals, trusts, estates, and businesses (our “retail investors”) and retirement plan consulting services to individual and participant-directed corporate retirement plans.

- When a retail investor engages us to provide discretionary investment management services, we shall monitor, on a continuous basis, the investments in the accounts over which we have discretionary authority as part of our investment management service. Furthermore, if engaged on a discretionary basis, we shall have the authority, without prior consultation with you (unless you impose restrictions on our discretionary authority), to buy, sell, trade and allocate the investments within your account(s) consistent with the investment strategy in your selected portfolio management agreement. Our authority over your account(s) shall continue until our engagement is terminated.
- When a retail investor engages us to provide financial planning services, we rely upon the information provided for review and do not verify or monitor any such information while providing this service. Unless provided separately from our investment advisory services as part of a financial planning engagement that is agreed to be ongoing service, our financial planning services are completed upon the communication of our recommendations to the retail investor.
- We do not limit the scope of our investment advisory services to any specific product or investment vehicle and may use without limitation stocks, bonds, units of investment funds, hedge funds and hedge fund of funds, as well as any other form of investment of a banking nature, as well as other assets as described in your portfolio management agreement.

For additional information, see Form ADV, Part 2A (Brochure) Items 4, 7, and 16.

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 relative experience, including your licenses, education, and other qualifications? What do these qualifications mean?

Q | What fees will I pay?

We provide our investment advisory services on a fee basis. The investment advisory fee is charged monthly, quarterly, or as otherwise specified in your portfolio management agreement, and is based upon the percentage of the market value of the assets placed under our management. Our fee will generally range from 0.15% to 1.00% annually. Because this fee is calculated as a percentage of your assets under management, the more assets you have in your advisory account, the more total dollars you will pay us for our investment management services. Therefore, we have an incentive to encourage you to increase the assets maintained in the accounts we manage. You may also pay commissions and/or referral fees in connection with your portfolio management agreement. For investment advisory clients, to the extent we provide limited financial planning services specifically requested by you, we will not receive any separate or additional fee. The fees for all other financial planning services shall be agreed to prior to commencing the engagement.

For additional information, see Form ADV, Part 2A (Brochure) Items 5, 6, and 14.

Conversation Starters

Ask your financial professional:

- ❖ 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?

Q | 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 must act in your best interest and not put our interest ahead of yours. At the same time, the way we make money 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.

Examples of Ways We Make Money and Conflicts of Interest

- We charge an asset-based fee, so we have an incentive to increase the assets in your account(s), therefore increasing the fees you pay. We may target more risky investments in pursuit of increasing the assets in your account and increasing the fees you pay. You will pay fees and costs whether you make or lose money on your investments.
- Our principals, affiliates, and employees, from time to time, may trade for their own accounts. This could involve a conflict of interest in that such trades may be different from, or opposite to, those of your portfolio management agreement. Situations may arise where your account could be disadvantaged of such trading activity.
- We are under common control with, and have the same owners as Blue Castle, our preferred broker-dealer. When effecting brokerage transactions, any dually registered individual, serving as both an investment adviser representative and representative of a broker-dealer, or permitted to exercise discretionary authority on behalf of clients in such person's capacity as an investment adviser representative. Where one of our registered representatives is also a representative of Blue Castle, then you will be charged the associated fees and expenses,

which may not be the lowest cost available to you for those services and/or product.

For additional information, see *Form ADV, Part 2A (Brochure) Items 5, 6, and 14*.

Conversation Starters

Ask your financial professional:

- ❖ 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?

Q | How do your financial professionals make money?

Our financial professionals receive a share of firm profits based upon firm ownership status.

Q | Do any of your financial professionals have legal or disciplinary history?

No. Nevertheless, we encourage you to visit www.Investor.gov/CRS for a free and simple search tool to research us and our financial professionals.

For additional information, see *Form ADV, Part 2A (Brochure) Item 9*.

Conversation Starters

Ask your financial professional:

- ❖ As a financial professional, do you have any disciplinary history? If so, for what type of conduct?

For additional information about our services, see our *Form ADV, Part 2A*. If you would like additional, up-to-date information or a copy of this disclosure, please call +55 (11) 99637-6317 where you can request up-to-date information and a copy of *Form CRS*.

Conversation Starters

Ask your financial professional:

- ❖ Who is my primary contact person? Is he or she a representative of a broker-dealer or investment adviser? Who can I talk to if I have concerns about how this person is treating me?
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