

## Customer Relationship Summary

2/2/2023

### Item 1 Introduction:

Alexis Investment Partners, LLC (AIP) is registered with the Securities and Exchange Commission (SEC) as an investment adviser. Brokerage and investment advisory services and fees differ and it is important for you to understand these 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?*

We offer investment advisory and financial planning services to retail investors.

*Investment Authority:* All accounts give AIP discretionary authority.

*Monitoring:* AIP Management monitors client portfolios on a continuous and ongoing basis. Such reviews are conducted by AIP's investment personnel and/or investment adviser representatives. The frequency of reviews will depend upon the complexity of the accounts, the nature of the advisory recommendations, changes in tax or market conditions, as well as other conditions and material changes to the client's situation. For additional information, please see AIP's Form ADV, Part 2A Brochure (Items 4 and 7).

### *Conversation Starter*

*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, and Standards of Conduct: *What fees will I pay?*

*Principal Fees and Costs:* AIP offers investment management services for an annual fee based on the amount of assets under the firm's management.

Assets under Management	Annual Management Fee
\$0 to \$1,000,000	0.85%
\$1,000,001 to \$3,000,000	0.75%
\$3,000,001 to \$5,000,000	0.65%
>\$5 million	0.50%

AIP's management fees for qualified plans are individually negotiated per plan. A minimum annual fee of \$1200 is charged per plan. Our management fee is negotiable, at the sole discretion of AIP, taking into account the specific needs of each client. Client fees are payable monthly, in advance, based on assets under management. Minimum fees may apply. Financial planning services may be included as a component of a personal wealth management relationship. Financial planning may also be provided for a pre-negotiated fixed fee.

*Other Fees and Costs:* In addition to the advisory fees paid to AIP Management, clients may also incur certain charges imposed by other third parties, such as broker-dealers, custodians, trust companies, banks, and other financial institutions. These additional charges may include securities brokerage commissions, transaction fees, custodial fees, fees charged by the Independent Managers, margin costs, charges imposed directly by a mutual fund or ETF in a client's account as disclosed in the fund's prospectus (e.g., fund management fees and other fund expenses), deferred sales charges, odd-lot differentials, transfer taxes, wire transfer and electronic fund fees, and other fees and taxes on brokerage accounts and securities transactions. AIP charges an **asset-based fee**; the more assets there are in a retail investor's account, the more that retail investor will pay in fees, and the firm will therefore have an incentive to encourage the retail investor to increase the assets in his or her account.

**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, please refer to AIP's Form ADV, Part 2A brochure Items 4, 5, and 7.**

### *Conversation Starter*

*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: When we recommend an advisory account, a rollover of a retirement plan account, refer a client to a third-party asset manager, or provide additional services for compensation, the compensation associated with these recommendations creates an incentive to make these recommendations based upon the amount of compensation we receive, rather than based upon your needs.

### *Conversation Starter*

*How might your conflicts of interest affect me, and how will you address them?  
How do your financial professionals make money?*

AIP's financial professionals are compensated by cash compensation from the advisory and financial planning fees that we charge you. Our fee for services may vary depending on such factors as the amount of your assets we manage and the time and complexity required to meet your needs. Clients are advised that a conflict of interest exists when our financial professionals recommend our services to you, in that we will earn a fee from the services provided to you and the financial professional will be directly compensated from those fees.

**Item 4 Disciplinary History:** *Do you or your financial Professionals have legal or Disciplinary history?*

No, AIP does not have any legal, financial, or disciplinary items to report.

### *Conversation Starter*

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

### **Search Tool**

Please visit [investor.gov/CRS](http://investor.gov/CRS) a free tool to research AIP and our financial professionals.

### **Item 5 Additional Information:**

For additional information about our services, please refer to AIP's Form ADV, Part 2A brochure Item 4 and Item 7. If you would like additional, up-to-date information or a copy of this disclosure, you may contact your finance professional at (925) 457-5258.

### *Conversation Starter*

*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?*

**Customer Relationship Summary**  
**Summary of Material Changes**  
2/2/2023

As of November 21, 2022 Item 1- Fee Schedule updated to reflect new fee structure.