

HELIANTH INVESTMENT MANAGEMENT, LLC

FORM CRS – Client Relationship Summary

(3/30/2024)

Helianth Investment Management, LLC (Helianth Investment or the Firm) is registered with the Securities and Exchange Commission as an investment adviser and, as such, we provide investment advisory services rather than brokerage services. Brokerage services and investment advisory services and respective fees differ and it is important for you, our client, to understand the differences. Additionally, 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. This document is a summary of the services and fees we offer to “retail” investors, which are natural persons who seek or receive services primarily for personal, family, or household purposes.

What investment services and advice can you provide me?

We offer the following advisory services to wealth/HNW clients and retail investors: **Investment Advisory Services; Financial Planning/Consulting Services; Portfolio Management Services; and Selection of Other Advisers.** Detailed information regarding our services, fees and other disclosures can be found in Form ADV Part 2A Brochure under Items 4, 5, and 8 by visiting this website link <https://adviserinfo.sec.gov/>

) **Account Monitoring:** If you open an investment account with our firm, as part of our standard service we will monitor your investments on a regular basis with minimum account reviews conducted annually.

) **Investment Authority:** *Discretionary Authority* – We manage investment accounts on a *discretionary* basis whereby we will decide which investments to buy or sell for your account. We have discretion to select, retain or replace third-party managers to manage your accounts. You may limit our discretionary authority (for example, limiting the types of securities that can be purchased or sold for your account) by providing our firm with your restrictions and guidelines in writing.

Non-Discretionary Authority – From time to time, where requested by a client, we may agree to manage a client account on a non-discretionary basis. In those circumstances, you the client make the ultimate decision regarding the purchase and/or sale of your investments.

) **Investment Offerings:** We provide advice on various types of investments. Our services are not limited to a specific type of investment or product.

) **Account Minimums and Requirements:** In general, we impose no minimum portfolio size.

Key Questions to 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 relevant experience, including your licenses, education and other qualifications?**

) **What do these qualifications mean?**

What fees will I pay?

The following summarizes the principal fees and costs associated with engaging our firm for investment advisory services. For detailed information, refer to our Form ADV Part 2A Brochure under Items 5 and 6 by visiting this website link <https://adviserinfo.sec.gov/>.

) **Asset Based Fees** – Where based on a percentage of assets under management (AUM), Helianth Investment generally charges a percentage of AUM tied to level of client assets ranging between 100-175 bps (basis points) or 1.00%-1.75%. Payable quarterly in arrears. Since the fees we receive are asset-based (i.e. based on the value of your account), we have an incentive to increase your account value which creates a conflict especially for those accounts holding illiquid or hard-to-value assets;

) **Hourly Fees** – Hourly fees charged may range from \$100 to \$800 per hour depending upon the advisory services to be provided.

) **Fixed-Fees** – Annual fixed-fees charged may generally range from approximately \$4,000 to \$500,000, depending upon the scope, extent and complexity of advisory services to be provided.

Examples of the most common fees and costs applicable to our clients are:

) Custodian fees;

) Account maintenance fees;

) Fees related to mutual funds and exchange-traded funds;

-) Transaction charges when purchasing or selling securities; and
-) Other product-level fees associated with your investments.

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.

Key Questions to 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?**

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.

-) *Trading Ahead:* Our firm or persons associated with our firm may buy or sell the same securities that we recommend to you or securities in which you are already invested (as also disclosed in our Form ADV). A conflict of interest exists in such cases because we have the ability to trade ahead of you and potentially receive more favorable prices than you will receive.
-) *Third-Party Payments:* Persons providing investment advice on behalf of our firm are licensed as independent insurance agents. These persons will earn commission-based compensation for selling insurance products. Insurance commissions are separate and in addition to our advisory fees. This practice presents a conflict of interest because they have an incentive to recommend insurance products to you for the purpose of generating commissions rather than solely based on your needs.

Refer to our Form ADV Part 2A Brochure by visiting this website link <https://adviserinfo.sec.gov/> to help you understand what conflicts exist.

Key Questions to Ask Your Financial Professional

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

How do your financial professionals make money?

-) The financial professionals servicing your account(s) are compensated with salary and bonus based on the amount of client assets they service.

Because our revenue is derived from asset-based fees, we have an incentive to grow your account as much as possible. This could cause us to take overly aggressive positions in conflict with your interests in an attempt to grow your account, or could incentivize us to inflate the valuations of illiquid investments held in your account.

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

No, our firm and our financial professionals currently do not have any legal or disciplinary history to disclose. Visit [Investor.gov/CRS](https://investor.gov/CRS) for a free and simple research tool.

Key Questions to Ask Your Financial Professional

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

You can find additional information about your investment advisory services and request a copy of the relationship summary at 203-302-3979 or refer to our Form ADV Part 2A Brochure by visiting this website link <https://adviserinfo.sec.gov/>.

Key Questions to Ask Your Financial Professional

-) **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?**