

AlphaBond LLC
Form ADV Part 3 – CRS (Customer Relationship Summary)
April 17, 2025

Item 1: Introduction

AlphaBond LLC (“we” or “AlphaBond” or “the Adviser”) is registered with the Securities and Exchange Commission (“SEC”) as an investment adviser.

It is important for you to understand the difference in fees and services between brokerage firms and investment advisers. 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 portfolio management services to pooled investment vehicles. We create an Investment Policy Statement (“IPS”) for each client, which outlines the client’s current situation (income, tax levels, and risk tolerance levels) and then construct a plan to aid in the selection of a portfolio that matches each client’s specific situation. Portfolio management services include, but are not limited to: investment strategy, asset allocation, personal investment policy, asset selection and regular portfolio monitoring. All client accounts for AlphaBond’s advisory services are reviewed on an ongoing basis, at least quarterly, by the CCO, with regard to clients’ respective investment policies and risk tolerance levels. This includes the review of trade transactions to ensure such transactions have been executed properly and are correctly recorded into client accounts. Monitoring of your account is included as part of the standard services we provide to you. We do not offer advice only with respect to proprietary products, however, we offer advice based on a limited menu of products or types of investments (equities and fixed income securities). We may also use other securities to help diversify a portfolio when applicable and as intended with the client’s investment profile. We do not require a minimum account size to manage your account. *Please see **Form ADV Part 2A (Brochure) Items 4, 7, and 13** for more detailed information.*

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 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? Qualified clients are assessed only a performance fee based on capital appreciation. Specifically, we will not charge a fee based on assets under management. If the qualified client’s portfolio rises in value, such client will pay 50% on that increase in value, but if the portfolio drops in value, the client will not incur a new performance fee until the portfolio reaches the last highest value, adjusted for withdrawals and deposits, which is generally known as a “high water mark.” The fee is generally negotiable and the final fee schedule will be memorialized in the client’s advisory agreement. Performance-based portfolio management fees are invoiced and withdrawn from client accounts on a monthly basis in arrears (i.e. the month following the period for which service was provided). AlphaBond does not require pre-payment of fees as it does not collect fees in advance. Adviser’s fees are exclusive of brokerage commissions, transaction fees, and other related costs and expenses which shall be incurred directly by the client. Clients may incur certain charges imposed by custodians, brokers, and other third parties such as fees charged by fund managers, custodial fees, transfer taxes, wire transfer and electronic funds fees, and other fees and taxes on brokerage account and securities transactions. Those fees are separate and distinct from the fees and expenses charged by AlphaBond.

The more assets you have in the advisory account, including cash, the more you will pay us. We therefore have an incentive to increase the assets in your account in order to increase our fees. 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. *Please see **Form ADV Part 2A (Brochure) Item 5** for more detailed information.*

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?**

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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 affect the recommendations we provide you. Here are some examples to help you understand what this means: Although clients typically direct brokerage to a particular broker-dealer of their choosing, we may sometimes recommend that the client utilizes certain broker-dealers with whom we maintain a longstanding relationship with. This presents a conflict as it limits the ability of commission rates to be negotiated on an arms' length basis with other execution venues. You may be able to obtain less expensive execution of securities transactions if a broker-dealer other than the one we recommend or your account is established with, is used. We and our related persons can buy or sell for ourselves securities that we also recommend to you. Such transactions can include trading in securities in a manner inconsistent with the advice given to you. This also provides an opportunity for representatives of AlphaBond to buy or sell the same securities before or after recommending the same securities to clients resulting in representatives profiting off the recommendations they provide to clients, which creates a conflict of interest. Some of the supervised persons maintain other outside business activities ("OBAs") which may influence the time spent on servicing advisory clients and makes them subject to additional compensation in their capacity with the respective OBAs. We have policies and procedures to monitor the potential conflicts disclosed above. We render only disinterested and impartial advice to clients and our goal is to comply with fiduciary obligations. *Please see [Form ADV Part 2A \(Brochure\) Items 10 and 11](#) for more detailed information.*

Conversation Starters 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? Neither we nor any of our supervised persons (employees) accept compensation for the sale of securities or other investment products for advisory clients in relation to business conducted at AlphaBond LLC. Our financial professionals are compensated on a salary basis and they may also receive a percentage of the fee received by the Adviser, according to respective arrangements between the Adviser and each individual financial professional. Please ask us for more information, and you can find more information about this in our ADV.

Item 4: Disciplinary History

Do you or your financial professionals have legal or disciplinary history? No, we do not, as noted on Form ADV Part 1, Item 11, Part 2A Item 9, or disclosures for any of our financial professionals in Items 14 A-M of their Form U4. Please visit [Investor.gov/CRS](https://www.investor.gov/CRS) for a free and simple search tool to research us or our financial professionals.

Conversation Starters Ask your financial professional

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

Item 5: Additional Information

To obtain more information, you may visit [Investor.gov](https://www.investor.gov) for a free and simple search tool to research our firm and our financial professionals. To report a problem to the SEC, visit [Investor.gov](https://www.investor.gov) or call the SEC's toll-free investor assistance line at (800) 732-0330. If you have a problem with your investments, investment account or a financial professional, contact us in writing at 251 Royal Palm Way, Suite 220. For additional information on our investment advisory services, see our Form ADV on IAPD or [Investor.gov](https://www.investor.gov). Information regarding our firm can be found at [adviserinfo.sec.gov](https://www.adviserinfo.sec.gov). Or by calling our firm at 561-948-3414 for up-to-date information or to request a copy of the relationship summary.

Conversation Starters 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?**