

Introduction

Trademark Capital Management, Inc. (also dba **Trademark Capital Asset Management**), is registered with the US Securities and Exchange Commission as an Investment Adviser. You have a choice among different types of financial services professionals to assist you with your financial needs. 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 www.investor.gov/CRS, which also provides educational materials about broker-dealers, investment advisers, and investing.

What investment services and advice can you provide me?

We provide the following investment advisory services to retail investors.

Investment Management: We provide discretionary and non-discretionary investment advisory and sub-advisory services primarily through third-party registered investment advisers (“Advisers”) via Separately Managed Accounts (“SMAs”). We also provide personalized financial planning, asset allocation and discretionary advisory services to clients who enter into an investment management agreement directly with us. Our services are customized according to your investment goals and objectives. As part of our standard services, we regularly monitor your portfolio and continuously review the investments used in our clients' accounts.

We, or one of our affiliates (i.e., companies that share common ownership with us), also serve as the investment manager and general partner (or similar position) of private pooled investment funds (the “Affiliated Funds”). We do not limit our investment advice to our proprietary products (i.e., the Affiliated Funds) or choose from a limited menu of products or investment types when selecting investments for your portfolio.

We will manage your investment portfolio on a discretionary or a non-discretionary basis. When you choose a discretionary arrangement, we will have the authority to buy and sell securities in your account(s) without asking you in advance. You will sign an advisory agreement giving us this authority until either you or we terminate that agreement. Under a non-discretionary arrangement, we will provide you investment recommendations, but you ultimately decide what investments to buy and sell. You may place reasonable limitations on our discretionary authority, subject to our written approval.

Financial Planning: Financial planning may include advice that addresses one or more areas of your financial situation including, but not limited to, cash management, risk management, insurance, education funding, goal setting, retirement planning, estate and charitable gift planning, tax planning, and capital needs planning.

More detailed information on our services is available in our [Form ADV Part 2A](#) (our “Brochure”) in Items 4, 7, 13, and 16. We are here to help you and encourage you to ask us questions. For example, you might want to ask us:

- *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 investment management fees are calculated as a percentage of the assets we manage for you, and are usually billed quarterly in advance. We believe this fee structure aligns our interests with yours, since we earn more fees as the value of your portfolio increases. Nonetheless, this type of fee arrangement could also influence us to recommend that you deposit more assets in your account, which would increase our fees. Our financial planning services are provided on an hourly fee basis.

In addition to the fees that we charge, your portfolio will incur other expenses. The most common examples are brokerage transaction fees (such as the fee that the broker charges to buy or sell a security in your account), custodian fees, and fees imposed by mutual funds and exchange traded funds. If you invest in an unaffiliated private fund (i.e., we do not serve as the private fund's investment adviser or General Partner), the fees and other expenses assessed by the Private Fund will be separate from and in addition to our fee. If you invest in one of our Affiliated Funds, you will be assessed the fund's fees and expenses, which may include a performance-based fee on the fund's profits. Depending on the financial professional serving your accounts, we will either waive or reduce the advisory fee on your assets invested in our Affiliated Funds.

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.

More information is available in our [Form ADV Part 2A](#) (our “Brochure”) in Items 5 and 12. We are happy to address fee arrangements in more detail with you. For example, you might want to ask:

- *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 to you. Here are some examples to help you understand what this means.

- If you invest in one or more of our proprietary Affiliated Funds, you will be assessed a management fee by the fund that is a percentage of your assets invested in the fund. Depending on the specific fund, you may also pay a performance fee based on profits. We, or one of our affiliates, receive these fees by virtue of service as the investment adviser and/or general partner of the Affiliated Funds. The receipt of these fees, which may be higher than our typical management fees, could influence us to recommend that you invest in the Affiliated Funds.
- We have agreements with solicitors to refer new clients to us. If a referred client enters into an advisory agreement with us, the solicitor is paid a referral fee. This presents a conflict of interest in that the solicitor has an incentive to recommend us based on the compensation received rather than the quality and cost of our services

More information is available in our [Form ADV Part 2A](#) (our “Brochure”) in Items 10, 11 and 12. Please ask us:

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

How do your financial professionals make money?

Our financial professionals are paid a salary and may also receive a share of client revenue. Financial professionals who are owners of the firm receive their share of corporate distributions based on firm profits. The receipt of compensation based on revenue or profits could influence us to recommend that you increase the assets that we manage.

Certain individuals associated with the firm are also licensed insurance agents and as such, they are entitled to receive commissions or other remuneration on the sale of insurance. A conflict of interest exists in that such individuals may recommend the purchase of insurance products due to the receipt of compensation rather than your best interest.

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

No. We encourage you to visit www.Investor.gov/CRS for a free and simple search tool to research us and our financial professionals. You might want to ask us:

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

Additional information

Please refer to our Brochure for more details on our investment advisory services and other topics. Please call us at (706) 534-2351 or joe.ezernack@trademarkcapital.com to request up-to-date information and a copy of the Client Relationship Summary and/or Brochure. We encourage you to ask:

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



FORM CRS SUMMARY OF CHANGES EXHIBIT

Set forth below is a summary of the changes made to the Trademark Capital Management, LLC **Form CRS** on May 31, 2023:

Introduction

We no longer use the dba Trademark Capital Private Wealth Management. We have adopted a new dba "Trademark Capital Asset Management."

What investment services and advice can you provide me?

We updated this section to include information pertaining to our sub-advisory services available to retail investors through third-party investment advisers. There have been no changes to our investment management services for direct clients. See the updated text below:

Investment Management: We provide discretionary and non-discretionary investment advisory and sub-advisory services primarily through third-party registered investment advisers ("Advisers") via Separately Managed Accounts ("SMAs"). We also provide personalized financial planning, asset allocation and discretionary advisory services to clients who enter into an investment management agreement directly with us. Our services are customized according to your investment goals and objectives. As part of our standard services, we regularly monitor your portfolio and continuously review the investments used in our clients' accounts.