

Collaboration Capital, LLC

Form CRS Customer Relationship Summary

June 30, 2020

Introduction

Collaboration Capital, LLC (“CC” or “the Firm”) is registered with the Securities and Exchange Commission (SEC) as an investment advisor. There are different ways you can get help from us with your investments. You should carefully consider which types of accounts and services are right for you. **We are a Registered Investment Advisor and provide advisory services rather than brokerage accounts and services.** This document gives you a summary of the types of services we provide and how you pay. Please ask us for more information. In addition, there are various suggested “Conversation Starters” contained in this document. 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 advisors, and investing.

What investment services and advice can you provide me?

The Firm offers a range of investment solutions to businesses, institutions, pension funds and other retirement accounts, high net worth individuals, individuals and charitable organizations (“Client”). The Firm’s investment management services are provided by either CC or through a third-party manager. The Firm’s strategies focus on Environmental, Social and Governance (“ESG”) criteria. The Firm utilizes equities, corporate debt, exchange-traded funds (“ETFs”); and U.S. government securities and other securities to manage its strategies. For new accounts, the Firm generally requires \$500,000 or more to establish an account, which can be waived at the Firm’s discretion. For its smaller accounts, the Firm utilizes a Digital Wealth Platform wherein a client completes an online survey which results in a model portfolio chosen automatically for them. The Firm monitors its advisory accounts on an on-going basis.

For additional information, please see the Firm’s ADV Part 2A, Items 4 and 7, which can be found at <https://adviserinfo.sec.gov/firm/summary/289777> or from the Firm.

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?

What fees will I pay?

The Firm will be compensated based on a percentage of assets under management, which will range from .90% to .50% depending on a variety of factors, including, but not limited to, the investment mandate or strategy, degree of servicing required, account/relationship size, market-place conditions and other factors. The client may pay an additional .25% for certain alternative investments or private placements held in their account(s). The Firm, in its sole discretion, can charge lower management fees. In cases where a consulting or referral arrangement is in place in which another financial institution provides Clients with services that complement or supplement the Firm’s services, the Firm, in its sole discretion, can charge lower management fees for accounts managed. The Firm may use a third-party sub-advisor to manage certain portfolios on their behalf, or to provide the Firm with research for the ESG strategies and those fees will be passed on directly to the Client. As applicable, Clients may also incur margin interest, transaction fees, costs and expenses imposed by their custodian, (and other third parties). A Client invested in mutual funds and ETFs may be subject to 12b-1 fee (i.e., distribution and service fee), a front-end load, deferred sales, and/or surrender charges fees and other expenses that described in the respective prospectus. Clients invested in private funds are subject to certain fees, including a management fee, performance or incentive fee and other fees and expenses, which are outlined in the fund’s offering documents. The Firm does not receive any portion of these commissions, fees or costs, which may be higher or lower than other custodians used by the Firm. You will pay fees and



costs whether you make or lose money on your investments. Fees and costs reduce the 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 see the Firm's ADV Part 2A, Items 5 and 6, which can be found at <https://adviserinfo.sec.gov/firm/summary/289777> , or from the Firm at www.collaboration.capital.

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?

What are your legal obligations to me when acting as my investment advisor? How else does your firm make money and what conflicts of interest do you have?

When we act as your investment advisor, 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 services, we provide you. Certain affiliated individuals often serve as directors and officers of, and provide advice to, privately held or publicly traded companies in which the Firm's Clients invest. The receipt of non-public information by these individuals could preclude the Firm from effecting discretionary transactions in certain securities. . Where potential conflicts arise, the Firm will take steps to mitigate, or at least disclose, them. Conflicts that the Firm cannot avoid (or chooses not to avoid) are mitigated through written policies that the Firm believes protect the interests of its Clients as a whole

For additional information, please see the Firm's ADV Part 2A, Items 11 and 12, which can be found at <https://adviserinfo.sec.gov/firm/summary/289777> or from the Firm at www.collaboration.capital.

Conversation Starter. 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?

All of the individuals associated with the Firm receive a salary and potential bonus, based upon the Firm's profitability and which is determined solely at the discretion of senior management. As such, the Firm believes it has eliminated the conflict of interest created by making recommendations to you.

Do your financial professionals have legal or disciplinary history?

No, neither the Firm nor any individual associated with it has any disciplinary history. For more information, visit www.Investor.gov/CRS for a free and simple search tool to research us and our financial professionals.

Conversation Starter. Ask your financial professional – As a financial professional, do you have any disciplinary history? For what type of conduct?

Additional Information

For additional information about our services, or if you would like up-to-date information or a copy of this disclosure, please contact Gary Fitzgerald at (346) 319-4783 or e-mail him at gfitzgerald@collaboration.capital.

Conversation Starter. Ask your financial professional – Who is my primary contact person? Is he or she a representative of an investment-advisor or a broker-dealer? Who can I talk to if I have concerns about how this person is treating me?

