

YOUR RELATIONSHIP WITH OUR FIRM



FIDELIS iM is registered with the Securities and Exchange Commission as an investment adviser. This is an abbreviated, easy to understand synopsis of ADV Part 1 and Part 2A, designed to help you ascertain the differences between a broker and a Registered Investment Adviser (RIA) and compare services. This is an important distinction and services and fees may differ. We have included convenient *conversation starters* to help you with questions about our firm.

OUR COMMITMENT



Free and simple tools are available to research firms and financial professionals at investor.gov/crs, which also provides educational material about broker-dealers, investment advisers, and investing.

Relationships and Services

What investment services and advice can we provide you?

When you partner with us, we become a fiduciary with respect to your investments. Our reputation for client success stems from our unique, disciplined approach to investment management. To optimize the growth of your portfolio, we apply the science of risk mitigation and diversified asset allocation instead of speculative buying and selling. This long-term, academically sound, relationship driven approach ensures that your interests are put first and your success is our top priority.

- ✔ INVESTMENT ADVISORY
- ✔ FINANCIAL PLANNING
- ✔ RETIREMENT PLANNING

We provide financial services on a discretionary basis. This means that you give us permission to manage your portfolio and make prudent investment decisions on your behalf. Investment portfolios are monitored daily. We do not provide services on a non-discretionary basis. *For additional information regarding our services, please see our ADV Part 2A.*

MINIMUM INVESTMENT ACCOUNT SIZE: \$500,000



Questions you might ask

Given my financial situation, should I choose an investment advisory service? Why or why not?

What is your relevant experience, including your licenses, education, and other qualifications? What do these qualifications mean?

How will you choose investments to recommend to me?

Fees, Costs, Conflicts, and Standard of Conduct

What fees will you pay?

We are a fee-based investment firm, meaning we charge you a percentage of your portfolio. Our fees are based on how much we are managing for you. Please note that 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. It is important to understand the fees and costs you are paying. A minimum annual fee of \$3,000 applies to qualified plans, SIMPLE IRAs, and SEP IRAs. Examples of fees you will pay are custodial fees and fund expenses. *More information can be found in our ADV Part 2A.*

ANNUAL INVESTMENT FEE: Maximum 1%



Help me understand how these fees and costs might affect my investments. If I give you \$500,000 (our account minimum) how much will go to fees and costs, and how much will be invested for me?

What are our legal obligations when acting as your 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. For example, our investment fees are aligned with assets under management which does provide an incentive to encourage increased assets in your account. This could be perceived as a conflict of interest. More information can be found in our ADV Part 2A.



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 are not compensated by product sales, commissions, or investment recommendations made to you. Firm revenue is derived by the investment advisory, financial planning, and retirement planning services we provide to our clients.

Disciplinary History

Do our financial professionals have legal or disciplinary history?

No. Please visit investor.gov/crs for a free and simple tool to research our firm and financial professionals.



As a financial professional, do you have any disciplinary history? If so, for what type of conduct?

Additional Information

You can find additional information about our services, request up to date information, or request a copy of this relationship summary by visiting fidelisim.com, emailing contactus@fidelisim.com, or by calling 541-770-1311.



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