

# Client Relationship Summary (“Form CRS”)

March 20, 2023

## SoundPath Investment Advisors, LLC

### Item 1: Introduction.

We are registered with the Securities and Exchange Commission as an investment adviser. Brokerage and investment advisory services and fees differ, and it is important for you to understand the differences. 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: What investment services and advice can you provide me?

We offer investment advisory services to “retail investors” (such as individuals, high net worth individuals, trusts, and estates). Our investment advisory services consist primarily of investment management. We will also assist clients with financial planning when requested by existing clients.

As part of our standard investment management services, we continuously monitor the investments in accounts that we manage for clients. We manage accounts using discretionary authority, meaning that we will execute trades, allocate assets, etc., without seeking prior discussion with you for each such action (subject to any agreed-upon restrictions upon such discretionary authority).

Our investment advisory services generally involve the use of mutual funds and individual equities. In limited circumstances, we will consider providing advice with respect to other types of investments, if requested by a client.

We generally require a minimum of \$500,000 to establish a relationship, but we reserve the right to waive this minimum.

For more detailed information, please see Items 4 and 7 of our Form ADV, Part 2A “Brochure”.

*Conversation Starters. We recommend you 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: What fees will I pay?

Our management fee schedule is:

1.00% annualized on the first \$750,000 of account value;

0.75% annualized on amounts between \$750,000 and \$1,500,000 of account value;

0.60% annualized on amounts between \$1,500,000 and \$7,500,000 of account value;

Accounts over \$7,500,000 are charged a flat fee of 0.50% annualized on the full balance (*i.e.*, no breakpoints) and may be negotiable in certain circumstances or for significantly larger balances.

Our management fee is payable on a quarterly basis in advance, typically deducted from client accounts, though clients may elect to be billed directly. The more assets we manage for a client, the more a client will pay in fees. Although this provides incentive for us to grow a client’s account, it also provides an incentive for us to encourage a client to add funds to an account.

Other fees and costs:

Clients invested in mutual funds will incur a proportionate share of mutual funds' management and administrative fees. Also, clients may pay transaction fees or commissions to the account custodian for the execution of trades.

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.

*We recommend you 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?"*

For more detailed information, please see Item 5 in our Form ADV, Part 2A "Brochure".

### **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 must 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 is an example to help you understand what this means:

We may recommend that you rollover funds from an employer's retirement plan into an IRA, which we would manage. This would increase the assets we manage, resulting in higher management fees paid to us.

For more detailed information, please see our Form ADV, Part 2A "Brochure". *Also, we recommend you 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?**

Our financial professionals receive salary-based compensation. Also, depending on firm performance, our financial professionals may receive a discretionary year-end bonus.

### **Item 4: Do you or your financial professionals have legal or disciplinary history?**

No, neither our firm nor our financial professionals have legal or disciplinary history. A free and simple search tool to research our firm and financial professionals is available at [Investor.gov/CRS](http://Investor.gov/CRS). *We encourage you to ask your financial professional, "As a financial professional, do you have any disciplinary history? For what type of conduct?"*

### **Item 5: Additional Information**

Additional information about our firm, including a copy of this client relationship summary, is available at [www.soundpathinvest.com](http://www.soundpathinvest.com) or at [adviserinfo.sec.gov](http://adviserinfo.sec.gov). Or, you may call 601-709-4400 for our current Form ADV, Part 2 "Brochure" and/or this client relationship summary.

*We recommend you 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?"*