

# HOPKINS INVESTMENT MANAGEMENT, LLC FORM CRS RELATIONSHIP SUMMARY DISCLOSURE

*Hopkins Investment Management, LLC ("HIM") is an investment advisor registered with the U.S. Securities and Exchange Commission.*

*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://investor.gov/CRS), which also provides educational materials about broker-dealers, investment advisors, and investing.*

## What investment services and advice can you provide me?

HIM provides investment advisory, financial planning and related consulting services to individuals, business entities, trusts, estates, charitable organizations, and pension and profit-sharing plans.

We manage advisory accounts on a discretionary or non-discretionary basis, consistent with the objectives you provide to us. For discretionary accounts, we will implement transactions without seeking your prior consent. For non-discretionary accounts, we will obtain your prior consent for every contemplated transaction. HIM typically recommends exchange-traded funds and mutual funds to you. In addition, you may elect to allocate some of your assets to our Globig Strategy, which is a proprietary momentum-based investment program that tactically allocates assets among mutual funds and exchange traded funds. If you meet certain eligibility conditions and are interested, we recommend private alternative investments and private investment funds, including an affiliated fund named Hopkins Capital Partners Fund LP ("HCP Fund").

As a part of our standard investment advisory services, we monitor investment portfolios daily for trading needs and evaluate the potential need for investment strategy changes on at least a monthly basis. We do not generally have a minimum fee or asset level for investment advisory services. We may agree to provide financial planning and/or consulting services, such as estate or insurance planning, for a separate hourly or fixed fee.

**Additional information about HIM and our financial advisors is available at [adviserinfo.sec.gov](https://adviserinfo.sec.gov). Please see Items 4 and 7 of our [Form ADV Part 2A Disclosure Brochure](#) for more detailed information about our services.**

### CONVERSATION STARTER QUESTIONS TO 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?

You will pay HIM a fee for investment advisory services which is a percentage of the value of the assets we manage for you. While the percentage asset management fee is subject to negotiation, it is generally between 0.8% to 1.5% per year, calculated and debited from your account quarterly. In addition, our fee is "tiered", meaning the percentage used to calculate the fee decreases as the amount of assets you ask us to manage is increased. Our fee for assets you place into the Globig Strategy is 3.0% per year and is not tiered. In general, we are paid more

### CONVERSATION STARTER QUESTIONS TO 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?

when you ask us to manage more assets. This arrangement gives us an incentive to recommend you place more assets with us. And if you invest in the affiliated HCP Fund, we receive a management fee in addition to the standard investment advisory fee you pay. This gives us an incentive to recommend that you invest in the HCP Fund.

Our fees for financial planning and consulting are negotiable, but range from \$500 to \$10,000 on a fixed fee basis and from \$150 to \$350 on an hourly basis, depending upon the level and scope of the requested services.

You may also pay fees charged by your account custodian, such as account fees and broker commissions, expense ratios and commissions charged by mutual funds and exchange-traded funds. These charges are in addition to our fee, and we do not receive any portion of these charges. .

**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 our [Form ADV Part 2A](#) Items 5.A., B., C. and D. for more detailed information about our fees and costs.

## 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?

### CONVERSATION STARTER QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL

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

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 can affect the investment advice we provide you. Here are some examples to help you understand what this means.

Examples of Ways We Make Money and Conflicts of Interest:

- Fees for additional services. You pay us more for any services we provide in addition to investment advisory services, such as estate planning, which gives us an incentive to recommend those services to you.
- HCP Fund. We receive a management fee for investments in the affiliated HCP Fund in addition to the standard investment advisory fee you pay. This gives us an incentive to recommend that you invest in the HCP Fund.

**Please see our [Form ADV Part 2A](#) for more detailed information about how we make money and our conflicts of interest.**

## How do your financial professionals make money?

Our investment advisors are paid based upon a percentage of the revenue we receive from you, after deducting any agreed-upon expenses. This compensation arrangement creates an incentive for the advisor to recommend that you bring more assets to HIM for management and engage HIM for additional services.

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

No. Please visit [Investor.gov/CRS](http://Investor.gov/CRS) for a free and simple search tool to research us and our financial professionals.

### CONVERSATION STARTER QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL

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

**For more information about our services, please visit [www.hopkinsim.com](http://www.hopkinsim.com) or see our [Form ADV Part 2 Disclosure Brochure](#). For up to date information or to request a copy of this relationship summary, call (800) 431-5662 or email [martin@hopkinsim.com](mailto:martin@hopkinsim.com).**

### CONVERSATION STARTER QUESTIONS TO 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?