

## Introduction

Our firm, Strategy Asset Managers, LLC, is an investment adviser registered with the Securities and Exchange Commission. We feel that it is important for you to understand how advisory and brokerage services and fees differ in order to determine which type of account is right for you. There are free and simple tools available to research firms and financial professionals at [www.investor.gov/CRS](http://www.investor.gov/CRS), which also provides educational materials about investment advisers, broker-dealers, and investing.

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

We are a registered investment adviser that offers investment advisory services, including Comprehensive Portfolio Management and Financial Planning & Consulting to clients. If you open an advisory account with our firm, we'll meet with you to understand your current financial situation, existing resources, objectives, and risk tolerance. Based on what we learn, we will recommend a portfolio of investments that is monitored at least annually, and if necessary, rebalanced to meet your changing needs and goals. We will offer you advice on a regular basis and contact you at least annually to discuss your portfolio.

We manage accounts on a discretionary basis. By signing an agreement with our firm, you are giving us permission to buy and sell investments in your account without giving you prior notice. Any limitations will be described in the signed advisory agreement. We will have discretion until the advisory agreement is terminated by you or our firm.

We do not restrict our advice to limited types of products or investments. Furthermore, while our firm does not impose requirements for opening and maintaining accounts or otherwise engaging us, we generally recommend a minimum account size of \$250,000 for our comprehensive asset management service.

Financial Planning & Consulting is included in our Comprehensive Portfolio Management. Financial Planning & Consulting is also offered as a separate service for a flat or hourly fee. We do not monitor your investments as part of the Financial Planning & Consulting service.

*Additional information about our advisory services is in Item 4 of our Firm Brochure, which is available online at [https://files.adviserinfo.sec.gov/IAPD/Content/Common/crd\\_iapd\\_Brochure.aspx?BRCHR\\_VRSN\\_ID=620772](https://files.adviserinfo.sec.gov/IAPD/Content/Common/crd_iapd_Brochure.aspx?BRCHR_VRSN_ID=620772)*

## What fees will I pay?

You will be charged an ongoing annual fee applied quarterly based on the value of the assets in your account. The maximum annual fee for our Comprehensive Asset Management does not exceed 1.5%. If an account has \$250,000 the maximum annual fee never exceeds \$3,750, and if an account has \$500,000 the maximum annual fee never exceeds \$7,500. We therefore have an incentive to increase the assets in your advisory account. Our fees vary and are negotiable. The amount you pay will depend, for example, on the services you receive and the amount of assets in your account. Our firm's fees will be automatically deducted from your advisory account, which will reduce the value of your advisory account. In rare cases, we will agree to send you invoices rather than automatically deducting our fees from your advisory account.

For our Financial Planning & Consulting service, our maximum flat fee is \$12,500 and our maximum hourly rate is \$250. We charge an upfront retainer when you sign an agreement for this service and charge you the balance due when we provide a financial plan or consultation.

The custodian that holds your assets charges you a transaction fee when we buy or sell an investment for you. The custodian's transaction fees are in addition to our firm's fees for our Comprehensive Portfolio Management service.

You may also pay charges imposed by the custodian holding your accounts for certain investments and maintaining your account. Some investments, such as mutual funds, index funds, exchange traded funds, and variable annuities, charge additional fees that will reduce the value of your investments over time. In addition, you may have to pay fees such as "surrender charges" to sell variable annuities.

In certain cases, we may select third party money managers to assist us with managing your account. If selected, they will charge you a fee, which will be described to you in their Form ADV or agreement.

Fees and costs must be paid irrespective of the performance of the account and will reduce investment performance over time.

*Additional information about our fees is in Item 5 of our Firm Brochure, which is available online at:*

[https://files.adviserinfo.sec.gov/IAPD/Content/Common/crd\\_iapd\\_Brochure.aspx?BRCHR\\_VRSN\\_ID=620772](https://files.adviserinfo.sec.gov/IAPD/Content/Common/crd_iapd_Brochure.aspx?BRCHR_VRSN_ID=620772)

### 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 interests 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:

Some of our firm's financial professionals are registered representatives of The Leaders Group, Inc., ("Leaders Group"), an unaffiliated broker-dealer. Your financial professional may offer you brokerage services through Leaders Group or advisory services through our firm. Brokerage and advisory services are different, and the fees our firm and Leaders Group charge for those services are different. Registered representatives charge a transaction-based commission each time they buy or sell a security in a brokerage account. As a result, they have an incentive to trade as much as possible in order to increase their compensation. You can learn more about Leaders Group brokerage services and fees at: <https://leadersgroup.net/services-offered-through-the-leaders-group/>

Our firm's financial professionals include licensed insurance agents who sell insurance products for a commission. They have an incentive to recommend insurance products to you in order to increase their compensation.

*Additional information about our conflicts of interest is in Item 10 of our Firm Brochure, which is available online at:* [https://files.adviserinfo.sec.gov/IAPD/Content/Common/crd\\_iapd\\_Brochure.aspx?BRCHR\\_VRSN\\_ID=620772](https://files.adviserinfo.sec.gov/IAPD/Content/Common/crd_iapd_Brochure.aspx?BRCHR_VRSN_ID=620772)

### How do your financial professionals make money?

Our financial professionals are compensated based on the revenue our firm earns from their advisory services or recommendations, the amount of client assets they service, and the time and complexity required to meet a client's needs. In addition, they are compensated based on the type of product sold and/or product sales commissions.

In certain instances, our firm directs brokerage to Piper Jaffray & Co. The commissions earned by Piper Jaffray & Co. Our firm will from time to time receive soft dollar benefits from Piper Jaffray & Co., in exchange for directing brokerage to their firm.

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

Yes, our firm and/or financial professionals have legal and disciplinary history. Visit [Investor.gov/CRS](http://Investor.gov/CRS) for a free and simple search tool to research our firm and our financial professionals.

### Additional Information

You can find additional information about our firm's investment advisory services on the SEC's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching CRD #109939. You may also contact our firm at (626) 657-0559 to request a copy of this relationship summary and other up-to-date information.

### Questions 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 those qualifications mean?
- Help me understand how these fees and costs may 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?
- How might your conflicts of interest affect me, and how will you address them?
- As a financial professional, do you have any disciplinary history?
- For what type of conduct?
- 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?