

# AMI ASSET MANAGEMENT CORPORATION

## Form CRS Relationship Summary

**We are an investment adviser registered with the Securities and Exchange Commission.** Brokerage and investment advisory services and fees are different and it is important for the retail investor to understand the differences. *Free and simple tools are available to research firms and financial professionals at [www.Investor.gov/CRS](http://www.Investor.gov/CRS), which also provides educational materials about broker-dealers, investment advisers, and investing.* This document gives you a summary of the types of services we provide and how you pay.

### RELATIONSHIPS AND SERVICES

#### WHAT INVESTMENT SERVICES AND ADVICE CAN YOU PROVIDE ME?

We offer **Investment Management Services** to retail investors using seven core investment strategies.

- \* We provide ongoing advice and continuous monitoring of your portfolio for the consistency of the investment strategy selected based on your financial circumstances.
- \* We will reach out to you by phone, e-mail, or in person at least annually to discuss your portfolio.
- \* We will buy and sell investments in your account without asking you in advance (“discretionary account”).
- \* Our investment advice will cover a limited selection of the types of investments. Other firms could provide advice on a wider range of choices, some of which might have lower costs.
- \* We require that you invest either \$500,000 or \$1,000,000 depending on the strategy you select. We may waive the minimum account size at our discretion.

**FOR ADDITIONAL INFORMATION**, please see our [Form ADV Part 2A brochure](#) Items 4, 7, and 13.

#### 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 these qualifications mean?*

### FEES, COSTS, CONFLICTS, AND STANDARD OF CONDUCT

#### WHAT FEES WILL I PAY?

Fees and costs affect the value of your account over time. The following summarizes the investment management fees and costs you will pay for our advisory services.

- \* The amount you pay to our firm varies on the strategy you select. The asset-based fee reduces the value of your account and will be deducted directly from your account in most cases.
- \* Our fees vary and are negotiable in certain instances at our sole discretion. The amount you pay will depend, for example, on the strategy you select and the dollar value of assets in your account.
- \* You may pay a transaction fee when we buy and sell certain investments for you. You may also pay fees to a broker-dealer or bank that holds your assets such as custodian fees, wire transfer fees, IRA fees, and account maintenance fees.
- \* Some investments (such as mutual funds, index funds, exchange-traded funds, or money market funds) impose additional fees that will reduce the value of your investment over time.
- \* You pay our fee quarterly even if we do not buy or sell any investments in your account.
- \* An asset-based fee may cost more than a transaction-based fee, but you may prefer an asset-based fee if you want continuing advice and want someone to make investment decisions for you.

**ADDITIONAL INFORMATION: 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 Item 5 brochure for more information about our fees and costs.

**QUESTIONS TO ASK US:**

- ▶ 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 ADVISER? HOW ELSE DOES YOUR FIRM MAKE MONEY AND WHAT CONFLICTS OF INTEREST DO YOU HAVE?**

We are held to a fiduciary standard that covers our entire investment advisory relationship with you including monitoring your portfolio, investment strategy, and investments on an ongoing basis.

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. Here is an example to help you understand what this means.

- \* The more assets you have in your advisory account, including cash, the more you will pay us. Therefore, we have an incentive to increase the assets in your account to increase the amount we earn (i.e., recommend that you rollover your retirement plan account or transfer assets to our firm).

**QUESTIONS TO ASK US:**

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

**FOR ADDITIONAL INFORMATION**, please see our Form ADV Part 2A Items 4, 10, 11, 12, 14, and 17 and any brochure supplement your financial professional provides.

**HOW DO YOUR FINANCIAL PROFESSIONALS MAKE MONEY?**

- \* We compensate our employees through a combination of base salary and annual performance bonus. The performance bonus is determined by a combination of individual achievement and firm profitability. The more assets you have in your advisory account, including cash, the more you will pay us. Therefore, employees have an incentive to increase the assets in your account to increase firm profitability and the potential for a higher annual bonus.

**DISCIPLINARY HISTORY**

**DO YOU OR YOUR FINANCIAL PROFESSIONALS HAVE A LEGAL OR DISCIPLINARY HISTORY?**

**NO.** Please visit [www.investor.gov/CRS](http://www.investor.gov/CRS) for a free search tool to research us and our financial professionals.

**QUESTIONS TO ASK US:**

- ▶ Do you or your financial professionals have a disciplinary history? For what type of conduct?

**ADDITIONAL INFORMATION**

**HOW DO I GET ADDITIONAL INFORMATION ABOUT YOUR FIRM AND SERVICES?**

**FOR ADDITIONAL INFORMATION ABOUT OUR SERVICES**, please see our [Form ADV Part 2A brochure](#), any brochure supplement your financial professional provides, and our website at [www.amiassetmanagement.com/](http://www.amiassetmanagement.com/). Call us at (424) 320-4000 to request up-to-date information and request a copy of the relationship summary.

**QUESTIONS TO ASK US:**

- ▶ 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?