

E1 Asset Management is registered with the Securities and Exchange Commission (“SEC”) as a broker-dealer and is a member of FINRA and SIPC. Our Financial professionals are only licensed to offer brokerage services. As is required by the SEC, this Client Relationship Summary provides details about our brokerage services, fees, and other important information.

Free and simple tools are available for investors to research firms and financial professionals at [Investor.gov/CRS](https://www.investor.gov/CRS). Here, you can also find educational materials about broker-dealers and investing.

What investment services and advice can you provide me?

E1 Asset Management offers brokerage services to retail and industry investors. We offer advice regularly and discuss your investment goals, design a strategy to achieve your investment goals. We offer a comprehensive range of investment services and products such as asset management, equities, fixed income, insurance, mutual funds, options, and retirement planning. When you open an account with our firm, we will discuss your current financial situation, existing resources, goals, and risk tolerance.

- **Investment Authority:** We will make recommendations on a non-discretionary basis [you make the ultimate decision regarding the purchase or sale of investments].
- **Account Minimums and Other Requirements:** No account minimum.

Conversation Starters. Ask your financial professional these questions to learn more:

- **Given my financial situation, should I choose a brokerage service? Why or why not?**
- **How will you choose investments to recommend to me?**
- **What is your relevant experience, including your license, education, and other qualifications? What do these qualifications mean?**

What fees will I pay?

Conversation Starter –

- **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 be invested for me?**

Please ask your registered representative to give you personalized information on the fees and costs that you will pay. A complete list of fees is attached to the year-end statement annually. The transactional standard commission fee schedule may be negotiated between the client and the Registered Representative. Commissions are transaction-based, and this may create an incentive for the Representative to recommend high activity. All other fees are fixed.

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 that you understand the fees and costs that you are paying. A copy of all fees is available upon request from accountservice@elam.com.

What are your legal obligations to me when providing recommendations? How else does your firm make money and what conflicts of interest do you have?

When we provide you with a recommendation, 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.*** As stated above, the commission is transaction-based, the more transactions, the higher the fees.

Conversation Starter –

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

How do your financial professionals make money?

Your registered representative is paid a commission [by you] for securities bought or sold in your account. Registered representatives are compensated based upon a commission percentage that you, the client and the representative agree upon or per the standard commission charge. Therefore, high activity could lead to higher fees.

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

-Yes, some do. You can visit Investor.gov/CRS for a free and simple search tool to research our firm and financial professionals.

Conversation Starter –

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

For additional information about E1 Asset Management or to request a copy of this relationship summary and a complete fee schedule, contact us either via telephone (212) 425-2670 or email accountservice@elam.com.

Conversation Starter –

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