

# SCG Asset Management LLC Form CRS - Client Relationship Summary

## March 22, 2024

### **Item 1. Introduction**

SCG Asset Management LLC (“SCG”, “we” or “us”) is an investment adviser registered with the Securities and Exchange Commission offering advisory services. This document gives you a summary of the types of services and fees we offer. Brokerage and investment advisory services and fees differ, and it is important for you to understand the differences. Please visit [www.investor.gov/CRS](http://www.investor.gov/CRS) for free, simple tools to research firms and for educational materials about broker-dealers, investment advisers, and investing.

### **Item 2. Relationships and Services**

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

*Services:* We offer our investors **discretionary and non-discretionary** investment advisory services. When you grant us discretionary authority, you provide us with the authority to determine the investments to buy or sell in your account on an ongoing basis. You will have the opportunity to place reasonable written restrictions on the types of securities in your account as determined in our investment agreement. For non-discretionary services, you make the ultimate investment decisions including any purchase or sale decisions, in accordance with your investment management agreement with us. We also manage the assets of the Alternative Strategies Income Fund, a continuously offered, non-diversified, closed-end management investment company (a closed-end interval fund).

*Monitoring:* We will generally review your discretionary account on an ongoing basis. We will monitor your non-discretionary account generally on a quarterly basis and will provide you with a financial report at least annually.

*Account Minimums & Other Requirements.* Our discretionary and non-discretionary investment advisory services currently have no established minimum account size or investment amount requirements. The Alternative Strategies Income Fund engages in a continuous offering of three classes of shares of the Fund: Class A, Class C and Class I shares. The minimum initial investment by a shareholder for Class A shares is \$5,000, Class C shares is \$2,500 and for Class I is \$100,000.

*Additional Information:* For more detailed information on our relationships and services, please see our ADV Form 2A – Items 4 and 7.

**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?” and “What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?”

### **Item 3. Fees, Costs, Conflicts, and Standard of Conduct**

#### **What fees will I pay?**

*Principal Fees and Costs:* For our non-discretionary investment advisory services, you are charged an annual fixed investment advisory fee (the “Advisory Fee”). We are compensated with an Advisory Fee for our discretionary investment advisory services provided to you as a percentage of assets under management. This Advisory Fee does not include other fees you will be responsible for, including (but not limited to) custodian bank fees, trade transaction and settlement fees (e.g., commissions, markups and other related fees charges by broker-dealers and intermediaries), foreign currency exchange transactions, wire transfer or any other fees or taxes imposed by the custodian bank, broker-dealers or other intermediaries. The more assets there are in your account, the more you will pay in fees and the firm may therefore have an incentive to encourage you to increase the assets in your account. We receive an investment management fee for management of the Alternative Strategies Income Fund as defined in the Fund prospectus.

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*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.*

*Additional Information:* For more detailed information on our fees, please see our [ADV Form 2A](#) – Item 5 and Page 7 of the Alternative Strategies Income Fund prospectus.

**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?**

*Standard of Conduct/Conflicts of Interest:* **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 are some examples to help you understand what this means. Our management fees are charged as a percentage, the more assets in your account, the more you will pay in fees, so we have an incentive and will have a conflict of interest to encourage you to increase the assets in your account. We may have an incentive to recommend an investment in the Alternative Strategies Income Fund or other accounts that we manage because of the fees we receive. For example, increases in the assets under management in the Alternative Strategies Income Fund will result in increases in the fees paid to us.

*Additional Information:* For more detailed information on our standard of conduct and potential conflicts of interest, please see our ADV Form 2A Items 5, 10 and 14.

**Questions to ask us:** *“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 a salary and a discretionary bonus based on individual performance and the success of the firm. They are not paid based on the amount of your assets they service, the time and complexity of your needs, or the investment options they recommend.

### **Item 4. Disciplinary History**

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

No. For more information please refer to Item 8 of our [ADV Form 2A](#). You can also visit [www.Investor.gov/CRS](http://www.Investor.gov/CRS) for a free and simple search tool to research us and our financial professionals.

**Questions to ask us:** *“As a financial professional, do you have any disciplinary history? For what type of conduct?”*

### **Item 5. Additional Information**

If you have any questions about our investment advisory services or if you wish to request a copy of the relationship summary, please contact us at (312) 784-3952. Additional information about SCG Asset Management LLC is available on the SEC’s website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov). The searchable IARD/CRD number for SCG is 311843.

**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?”*