



## Client Relationship Summary (Form CRS)

Effective November 15, 2023

Iconik Securities, Inc. is registered as an investment advisor with the Securities and Exchange Commission (SEC). There are different ways you can get help with your investments. You should carefully consider which types of accounts and services are right for you. We are an investment advisor and provide advisory services rather than brokerage accounts and services. Brokerage and investment advisory services and fees differ, and it is important for you to understand the differences. This document gives you a summary of the types of services we provide and how you pay. Please ask us for more information. There are some questions included in the sections below as suggested Conversation Starters.

There are free and simple tools available to research firms and financial professionals at [Investor.gov/CRS](https://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?***

Iconik provides an efficient and customizable proxy voting platform that may be configured to reflect the unique values, preferences, and goals of advisors and/or their clients. Iconik enables its users, advisors, and financial institutions to make voting elections that are meaningful and connected to values and goals, automated yet transparent and adjustable, personalized, and validated through reporting.

The core of our platform is a rules-based voting engine that utilizes proprietary technology and research to translate user inputs into voting choices for shareholder ballots users are entitled to vote. Iconik allows users to override its voting recommendations, giving investors final authority over each voting choice.

Iconik does not offer any investment products or provide investment advice about asset allocation, investment strategy, stock selection, types of accounts, financial planning, investment research or analysis, market timing, or other non-proxy-related services. We do not monitor any retail investor account, nor do we have discretionary authority over any client investment accounts.

#### **Conversation Starters – Questions to Ask Us**

- Given my financial situation, should I choose an investment advisory service? Why or why not?
- What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?

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

*Retail clients* configure a voting profile and may execute votes according to the profile free of charge. Clients who use Iconik's optional additional reporting features pay a ***fixed and ongoing monthly fee***.

*Institutions* utilizing Iconik's platform pay an annual advisory fee per fund, a composition modifier fee depending on the investment style of the fund (domestic/global/international), a maximum annual fee cap, and a setup fee. Fees are negotiable and depend upon the size of the Institution, the complexity of the funds or investor base, composition and investment style, and the number of funds or strategies enrolled, among other factors.

*Third-Party Managers* pay an annual advisory fee and a setup fee. Fees are negotiable and depend on the number of advisors that require access to the platform, characteristics of the managed accounts, and other factors.

Iconik does not charge or collect custodian fees, account maintenance fees, fees related to mutual funds and variable annuities, or other transactional fees and product-level fees. You will pay fees and costs whether you make money or lose money on your investment. 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.

### Conversation Starters – Questions to Ask Us

- What additional costs should I expect in connection with my investment?
- 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 must abide by certain laws and regulations in our interactions with you. ***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.

*Indirect Impact of Securities Prices* - Clients should be advised that voting on non-binding ballot items, such as shareholder resolutions and uncontested director elections, may indirectly impact the value of a security, but are not commonly considered to have the same risk profile as decisions to invest in or sell securities.

To learn more about potential conflicts of interest, how they may affect you, and what we do to manage and mitigate conflicts, please consult with your financial professional

### Conversation Starters – Questions to Ask Us

- How might your conflicts of interest affect me, and how will you address them?
- What are the most common conflicts of interest? How do you manage those conflicts?
- Tell me how you and your firm make money. Do you or your firm receive any payments from anyone besides me in connection with my investments?

***How do your financial professionals make money?***

Our Financial Professionals are equity owners of Iconik. They are paid a salary and retain the ownership benefits of the success and operation of Iconik such as dividends, profit-sharing distributions, and capital appreciation. Our Financial Professionals do not receive a commission on any securities trades or any asset-based fee related to the number or value of the investments in any client account.

***Do you or your Financial Professionals have legal or disciplinary history?***

No. Please visit [Investor.gov/CRS](https://www.investor.gov/crs) for a free and simple search tool to research Iconik or our financial professionals.

### Conversation Starters – Questions to Ask Us

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

### Additional Information

You can find additional information about our firm's advisor services at [www.BrokerCheck.FINRA.org](https://www.BrokerCheck.FINRA.org) by searching for Iconik Securities, Inc. You may also contact our firm at 415-326-6642 to request up-to-date information, a free copy of this Client Relationship Summary, or to talk to any one of our owners or investment professionals.

### Conversation Starters – 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?