

## **FUNDAMENTAL INVESTMENT SERVICES LLC RELATIONSHIP SUMMARY**

Fundamental Investment Services, LLC ("FIS") is organized as a limited liability company under the laws of the State of Florida and is a Registered Investment Adviser with the U.S. Securities and Exchange Commission ("SEC"). FIS has been in business since March 2024.

It is important that you are aware of the relationship you can establish through Fundamental Investment Services, LLC. Through FIS you will establish an investment advisory relationship. Investment advisory and brokerage services and fees differ in many ways. It is important that you understand the differences. For example, some of the differences include the duty of an advisor with the client and the way services are charged. In general, brokers charge commissions on each trade that you do, and advisors charge a fee which is calculated based on the assets that they manage for you. Also, bear in mind that an advisor has a fiduciary duty with you, while a broker has a duty to only recommend securities that are in your best interest.

Free and simple tools are available to research firms and financial professionals at, [investor.gov/CRS](https://investor.gov/CRS), which also provides educational materials about broker-dealers, investment advisers, and investing.

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

We offer the following **investment advisory services**:

| FIS Advisory Services                                   |   |  |                    |                                       |  |
|---|---|--|--------------------|---------------------------------------|--|
| Type of Relationship                                    | Service Provided  | Authority to Execute of Transactions   | Account Monitoring | Discretion on implementing strategies | Custody of Clients Funds or Securities   |
| Non-discretionary Investment Advisory Agreement/Mandate | Investment Advice on securities and strategies<br>Supervision of Strategy | No. The client makes the ultimate decision regarding the purchase or sale of investments. But, the client has the option of authorizing FIS to transmit order to custodians on its behalf after they have been approved by client. | Yes                | No                                    | No, FIS will not have custody of client funds or securities. Clients must establish a relationship with a Qualified Custodian. |
| Discretionary Investment Advisory Agreement/Mandate     |   | Yes. FIS will transmit orders to custodians on the client's behalf without the need to receive client prior approval.  | Yes                | Yes                                   | No, FIS will not have custody of client funds or securities. Clients must establish a relationship with a Qualified Custodian. |

It is important that you are aware that FIS will monitor your account as a part of the standard service provided. FIS does not have any material limitations on the type of advisory relationship it can provide. Please refer to FIS' Form ADV Part 2A for more details regarding the products we may provide advice on. FIS does not have a minimum dollar value for establishing an account, but it is suggested that clients have at least

**WE RECOMMEND THAT YOU ASK THESE QUESTION TO YOUR FINANCIAL ADVISOR:**

*"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?"*

\$100,000 in investable assets.

### **WHAT FEES WILL I PAY?**

FIS' clients should expect to pay ongoing asset-based fee that is a percentage of assets under management. Generally, advisory fees are calculated and billed on a quarterly basis, payable in advance. In addition, clients may expect to pay fees including platform fees and other operational related fees. All of the fees that will be assessed are fully disclosed in your advisory agreement with Global.

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. When holding an advisory account, the investor is charged an advisory based fee which may include transactions costs and fees to a broker dealer or bank for the execution of transactions. Keep in mind, that in general terms, if you hold more assets in your advisory account, you may receive a lower fee in percentage terms. This, however, does not necessarily mean you will pay less in fees. Therefore, FIS' may have an incentive to encourage the investor to increase the assets in his or her account. You may also find more detailed information about our fees, their calculation and billing frequency on our Form ADV Part 2A under the section titled "Item 5 – Fees and Compensation".

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*In regard to fees and costs, a good, related question when speaking to your account executive:*

*"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?"*

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### **WHAT ARE YOUR LEGAL OBLIGATIONS TO ME WHEN ACTING AS AN INVESTMENT ADVISOR? 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 as a fiduciary 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: We and our related persons can buy or sell for ourselves securities that we also recommend to you. Such transactions can include trading in securities in a manner inconsistent with the advice given to you. We have policies and procedures to monitor the potential conflicts disclosed above. We render only disinterested and impartial advice to clients and our goal is to comply with fiduciary obligations. We are responsible for recommending investments based on your investment objectives and risk tolerance. Please see Form ADV Part 2A Items 10 and 11 for more detailed information.

For additional information of potential conflicts of interest, more information can be found at FIS' Form ADV Part 2A and other applicable documents.

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*A good, related question to ask your account executive:*

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

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

Our consultants generate income solely from revenue earned from advisory fees. For more information on how your financial advisor generates fees, please refer to FIS' Form ADV Part 2A for more information.

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

No. However, you may visit [investor.gov/CRS](https://investor.gov/CRS) for a free and simple search tool to research SVN Global and its financial professionals.

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*A good, related question to ask your advisor:*

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

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### **ADDITIONAL INFORMATION.**

March 2024

For additional information about our services or to request a copy of the relationship summary, please visit [adviserinfo.sec.gov](https://adviserinfo.sec.gov) or contact [jose.santamaria@myfundamental.net](mailto:jose.santamaria@myfundamental.net). Investors can request up-to-date information and request a copy of the relationship summary at 1 (917) 495-9582.

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*A good, related question to ask your advisor:*

*"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?"*

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