

AIML TRADING PARTNERS LLC

AIML Trading Partners (“AIMLTP”)

FORM ADV PART 3: RETAIL INVESTOR RELATIONSHIP SUMMARY

July 25th, 2024

AIML TRADING PARTNERS LLC
43 Main Street, 3rd Floor
Cold Spring Harbor, NY 11724
(631) 944-5699

Item 1 – Introduction

Relationship Summary for AIML TRADING PARTNERS LLC

As of 07/22/2024

AIML TRADING PARTNERS LLC is registered with FINRA and New York State (NYS) and is seeking to become registered with the Securities and Exchange Commission (SEC) as an Investment Advisor.

It is important to understand that brokerage and Investment Advisory services and fees differ, and retail investors should be aware of these differences to make informed decisions. AIML TRADING PARTNERS LLC does not provide brokerage services.

Free and simple tools are available to research firms and financial professionals at [Investor.gov/CRS](https://www.investor.gov/crs). This resource also provides education materials about broker-dealer, investment advisers, and general investing.

For further details, please contact us directly at (631) 944-5699 or via email at Ryan_Caldwell@AIMLTP.com.

Item 2 – Relationships and Services

“What investment services and advice can you provide me?”

Description of Services

AIML TRADING PARTNERS LLC offers investment advisory services to qualified purchasers, accredited investors, and retail investors. The principal services we provide and make available to retail investors include:

- Individual and Corporate Investment Advisory Accounts: Including margin and/or securities-based loans.
- Retirement Accounts: Traditional Individual Retirement Accounts (IRAs), Roth IRAs, Simplified Employee Pension (SEP) IRAs.
- Education and Health Savings Accounts: 529 College Savings Plan accounts and Health Savings Accounts (HSAs).

We make investments and trade exchange-traded securities across global public equity markets. The principal investment advisory service we offer is active portfolio management, including custom portfolio planning and a wrapped 1.50% annualized Advisory Fee program.

Monitoring

AIML TRADING PARTNERS LLC's Control Person, Ryan Gregory Caldwell, monitors retail investors' investments daily on all trading days of the year. This service is provided as part of our standard offering.

Investment Authority

AIML TRADING PARTNERS LLC operates on a non-discretionary basis, meaning retail investors make the ultimate decision regarding the purchase or sale of investments.

Limited Investment Offerings

We do not limit our investment offerings to proprietary products or a limited menu of products or types of investments. We provide a wide range of investment options to suit various financial goals and risk appetites.

Account Minimums and Other Requirements

AIML TRADING PARTNERS LLC does not impose any requirements for retail investors to open or maintain an account or establish a relationship, such as minimum account size or investment amount.

Advisory Business

Our specialization lies in institutional-grade asset allocation modeling, providing personalized and goal-oriented financial planning and portfolio management solutions. We focus on a broad range of investment instruments, ensuring centralized oversight and commitment to our clients' financial success.

Additional Information

For more detailed information about our services, please refer to our Form ADV, Part 2A brochure (Items 4 and 7 of Part 2A or Items 4.A. and 5 of Part 2A Appendix 1). This information is also available on our website, or you can contact us directly for further details.

Conversation Starters

Here are some questions to ask a financial professional to start a conversation about our relationships and services:

1. Given my financial situation, should I choose a brokerage service? Why or why not?

2. Given my financial situation, should I choose an investment advisory service? Why or why not?
3. How will you choose investments to recommend to me?
4. What is your relevant experience, including your licenses, education, and other qualifications? What do these qualifications mean?

For further details, please contact us directly at (631) 944-5699 or via email at Ryan_Caldwell@AIMLTP.com.

Item 3 – Fees, Costs, Conflicts, and Standard of Conduct

“What fees will I pay?”

The principal fees and costs that a retail investor will incur are wrap advisory fees of 1.50% annualized, charged monthly on the first of every month. This fee is deducted directly from client accounts and is non-negotiable.

“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?”

For Example:

$\$10,000 \text{ Account Balance} * (1.50\% \text{ Advisory Fee} / 12 \text{ Months}) = \$10,000 * 0.00125 = \$12.50$ per month

In addition to the Advisory Fee, clients may incur additional fees or expenses related to:

- Custodian Fees: Charges by the custodian of your assets (either Charles Schwab, Goldman Sachs, or Interactive Brokers).
- ETF and Mutual Fund Fees: Fees embedded in the expense ratios of these funds.
- Margin Expenses: Costs associated with borrowing funds to purchase securities.

AIML TRADING PARTNERS LLC does not charge direct broker-dealer fees or transaction costs, nor do we accept compensation for the sale of securities or other investment products. Clients are not charged fees in advance and are not entitled to refunds.

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.

“What are your legal obligations to me when acting as my investment adviser?”

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.

“How do your financial professionals make money; how else does your firm make money, and what conflicts of interest do you have?”

Our financial professionals are compensated based on:

- The amount of client assets they service: Higher assets under management typically result in higher compensation.
- The time and complexity required to meet a client’s needs: More complex or time-consuming client relationships may result in higher compensation.
- Advisory Fees: Our fully licensed and registered financial professionals may earn a percentage of the advisory fees charged to client accounts.

Examples of Ways We Do Not Make Money:

- Proprietary Products: We do not issue, sponsor, or manage proprietary products.
- Third-Party Payments: We do not receive compensation from third parties when we recommend or sell certain investments.
- Revenue Sharing: We do not engage in revenue-sharing arrangements.
- Principal Trading: We do not buy investments from, or sell investments to, retail investors from our own account.

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

The compensation structures create potential conflicts of interest, as there may be an incentive to encourage clients to increase their assets under management or to engage in more complex financial planning services.

For further details, please refer to our Form ADV, Part 2A brochure, which provides comprehensive information about our fees, costs, and conflicts of interest. This information is also available or can be provided upon request.

Item 4 – Disciplinary History

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

Yes, AIML TRADING PARTNERS LLC and some of our financial professionals have legal or disciplinary history.

Ryan Gregory Caldwell has a disclosure on Form U5 (Uniform Termination Notice for Securities Industry Registration) from 2023. This disclosure pertains to employment separation after allegations of using an unapproved third-party communication application to send written communications to a client about a private securities transaction and sending unsecured emails to communicate client information.

We encourage you to visit [Investor.gov/CRS](https://investor.gov/CRS) for a free and simple search tool to research our firm and our financial professionals.

Conversation Starter: “As a financial professional, do you have any disciplinary history? What type of conduct?”

Item 5 – Additional Information

Additional Information

For additional information about our brokerage or investment advisory services and to request a copy of the relationship summary, please contact AIML TRADING PARTNERS LLC at (631) 944-5699 or via email at Ryan_Caldwell@AIMLTP.com. This information is disclosed prominently at the end of our relationship summary.

You can also visit our website for more detailed information and access our Form ADV, Part 2A brochure, which provides comprehensive details about our services, fees, and conflicts of interest.

Conversation Starter: "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?"