

Vaquita Sun, Inc.

Customer Relationship Summary – August 2024

Item 1. Introduction

Vaquita Sun, Inc. is an investment adviser registered with the U.S. Securities and Exchange Commission. Investment advisory and brokerage services and fees differ; therefore, it is important for you to understand the differences. Free and simple tools are available to research firms and financial professionals (also referred to as Investment Adviser Representatives; “IARs”) at [Investor.gov/CRS](https://www.investor.gov/crs), which also provides educational materials about investment advisers, broker-dealers, and investing.

Item 2. Relationships and Services

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

Description of Services and Monitoring

Vaquita Sun, Inc. evaluates each client’s objectives and risk tolerances to tailor an asset allocation and investment style specifically beneficial to that client. We manage portfolios that include a combination of equities and fixed income securities to obtain income or capital appreciation objectives.

Investment Authority

Vaquita Sun, Inc. offers our asset management accounts on a discretionary basis. Discretionary asset management allows us the limited authority to buy and sell investments in your account without asking you each time a transaction is placed.

Investment Offerings

Our investment recommendations are primarily related to investments in U.S. exchange-traded equity and fixed income securities. Vaquita Sun Inc.’s typical client has an investable net worth of at least \$500,000 to open and maintain an advisory account. However, this minimum may be waived at the discretion of Vaquita Sun, Inc.

Additional Information

For additional Information, please see our [Form ADV Part 2A](#) (with special emphasis on Items 4, 7, and 16 of Part 2A).

Conversation Starters*

- 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?

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

“What fees will I pay?”

Vaquita Sun, Inc.’s fees for portfolio management services are a percentage of the account value at the end of the month, billed monthly in arrears. As a client’s account increases in value, so will the fees paid to Vaquita Sun, Inc. Fees may be assessed on a pro rata basis in the event the portfolio management agreement is executed at any time other than the first day of a month. The payment of fees for portfolio management services will be made via a direct debit by the qualified and independent custodian holding the clients’ funds and securities.

Other Fees and Costs: Some investments, such as mutual funds and ETFs, impose additional fees that will reduce the value of your investments over time. Those fees may include fund expenses and surrender charges. You may also pay other fees to the custodian of your assets. These include, but may not be limited to, ticket charges on transactions, fees for wire transfers, stop payments, IRA maintenance, duplicate check or statement copies, overnight deliveries, returned checks, and asset transfers.

Additional Information: You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce the amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying. More detailed information about our fees and costs are included in our [Form ADV Part 2A](#) (Item 5).

* Consider asking your financial professional these questions.

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Conversation Starters*

- 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?”

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.

For example, our primary custodian for investors provides certain research or other investment management tools without charge for maintaining client assets with them. The receipt of such economic benefits by us or our IARs in and of itself creates a potential conflict of interest and may indirectly influence our choice of a particular custodian for custody and brokerage services. To address these potential conflicts of interest, we have developed and implemented a Compliance Program, which includes a review of the services and execution quality we receive from the custodians we recommend.

Vaquita Sun, Inc. only generates revenues investment management fees as described above.

Conversation Starter*

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

These arrangements and additional information about other conflicts of interest are discussed in more detail in our [Form ADV Part 2A](#).

“How do your financial professionals make money?”

Our IARs are compensated through salaries and/or dividends paid from Vaquita Sun, Inc. The portion paid to your IAR generally does not vary based on the type of investments that are recommended.

Item 4. Disciplinary History

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

Yes – We invite you to visit [Investor.gov/CRS](https://www.investor.gov/CRS) for a free and simple search tool to research our Firm and IARs.

Conversation Starters*

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

Item 5. Additional Information

We encourage you to seek out additional information about our investment advisory services in our Form ADV Brochure on [Investor.gov](https://www.investor.gov) or [adviserinfo.sec.gov](https://www.adviserinfo.sec.gov). Alternatively, you can call Vaquita Sun, Inc. at (954) 620-9900 to speak with us directly and request a copy of this relationship summary.

Conversation Starters*

- 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?

* Consider asking your financial professional these questions.