

CAPITAL STRATEGIES INVESTMENT GROUP, LLC
Form ADV Part 3: Relationship Summary

Introduction

Capital Strategies Investment Group, LLC (CAP STRAT) is an investment adviser registered with the U.S. Securities and Exchange Commission. We offer our clients investment advisory services. Clients should understand that the services we provide and fees we charge are different than those of a broker-dealer, and that it is important to understand the difference between the two. Free and simple tools are available to research firms and financial professionals at <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?

Description of Services: Capital Strategies Investment Group, LLC offers the following investment advisory services to retail investors. Please see **Item 4** of our **Form ADV Part 2A** for a complete description.

Portfolio Advisory and Management Services: We provide *Asset Management Services* which involves us managing and trading your designated account(s). We will discuss your investment goals and design a strategy to try and achieve your investment goals. We will continuously monitor your account when providing asset management services and contact you at least annually to discuss your portfolio. When engaging us for asset management services, you can choose whether you'd like us to provide services on a **discretionary** basis (we will have the authority to determine the type and amount of securities to be bought or sold in your account) or a **non-discretionary** basis (we will have to confirm any trades in your account with you before we place them). For more information about investment authority, please see **Item 16** of our **Form ADV Part 2A**. We also provide *Investment Consulting Services* on accounts not managed or maintained by our firm. This service is similar to Asset Management Services in that we will provide you specific investment recommendations; however, we will not have trading authorization or direct access to your accounts being reviewed under this service so it is your responsibility to make all trades and changes to your account. *Manager Recommendations* is an option whereby we recommend one or more unaffiliated investment managers to manage a portion of your investment account(s).

Private Wealth: We provide private wealth services which is a combination of financial planning, estate planning, tax planning, risk management, charitable giving, executive benefits, concentrated stock, family dynamics, and other mutually agreed upon topics appropriate for your unique financial situation.

Retirement Plan Participant Education: We are available at your request to provide education to you as a retirement plan participant regarding your investment options under the plan.

Limited Investment Offerings: We do not primarily recommend one type of security to clients. Instead, we recommend investment portfolios designed to be suitable for each client relative to that client's specific circumstances and needs. We make investment decision using a mix of no-load mutual funds, exchange-traded funds ("ETFs"), collective trusts, limited partnerships, cash equivalents and fixed income and equity securities. However, we are limited in investment selection in that we can only invest your account in securities which are available on your custodian/broker-dealer's platform. When providing you services, we do not recommend or offer advice on any proprietary products.

Account & Fee Minimums: There are no stated minimum investment amounts or fee minimums for our services.

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?*

What Fees Will I Pay?

Description of Principal Fees & Costs: Fees charged for our asset management services are charged based on a percentage of assets under management. The annual fee for asset management services will be between 0.05% and 0.75%. The average percentage fee that our clients paid for asset management and investment consulting services was 0.39% in 2023. Fees can be

collected in advance or in arrears as agreed upon by you and our firm. If collected in advance, this means the annual fee is divided and billed and then collected in advance of each period. If collected in arrears, this means the annual fee is divided and billed in arrears and then collected at the end of each period. If your fee is based upon the value of your accounts we have an incentive to recommend that you increase the level of assets in your account. When engaging us for asset management services, you will also incur other fees and expenses. The broker-dealer/custodian on your account may charge you transaction fees for executing trades in your account. You will also be charged internal fees and expenses by the funds we invest in within your account.

Additional Information: 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. For more information about the fees we charge and the other fees and expenses you will incur, please see *Item 5 of Form ADV Part 2A*.

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?

Standard of Conduct: 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 is an example to help you understand what this means. We actively manage our own personal accounts while at the same time managing your accounts and other client accounts. As a result, we may purchase or sell the same or similar securities at the same time that we place transactions for you. To avoid potential conflicts of interest involving personal trades, we have adopted formal insider trading and personal securities transactions policies and procedures.

Additional Information: For more information about our conflicts of interests and the ways we are compensated, please see *Item 5* and *Item 11* of our *Form ADV Part 2A*.

Conversation Starters: How might your conflicts of interest affect me, and how will you address them?

How Do Your Financial Professionals Make Money?

We compensate our investment adviser representatives with a flat salary and bonus not dependent on the level of revenue they generate from clients or for the firm. We do not receive compensation for the sale of securities or other investment products, including asset-based sales charges or service fees from the sale of mutual funds or ETFs.

Do You or Your Financial Professionals Have Legal or Disciplinary History?

No. Neither us, nor our investment adviser representatives have a legal or disciplinary history to report. You can look up more information about us and our investment adviser representatives at <https://www.investor.gov/CRS>.

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

Additional Information About Capital Strategies Investment Group, LLC

Additional information about us and a copy of this relationship summary are available on the Internet at <https://www.capstratig.com/>. You can also find our disclosure brochures and other information about us at <https://adviserinfo.sec.gov/firm/summary/150091>. If you have any questions or want an up-to-date copy of this relationship summary, we can be reached by phone at 630-320-5100.

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?

Amended Form ADV Part 3 Schedule

CAPITAL STRATEGIES INVESTMENT GROUP, LLC
Summary of Material Changes Exhibit

April 2024

This is a Summary of Material Changes to our Form ADV Part 3, which describes the material changes since our Form ADV Part 3 was last filed in May 2020. Changes to our Form ADV Part 3 are as follows:

Previous Disclosure:

- **Description of Principal Fees & Costs:** Fees charged for our asset management services are charged based on a percentage of assets under management. The annual fee for asset management services will be between 0.05% and 1.00%.

New Disclosure:

- **Description of Principal Fees & Costs:** Fees charged for our asset management services are charged based on a percentage of assets under management. The annual fee for asset management services will be between 0.05% and 0.75%. The average percentage fee that our clients paid for asset management and investment consulting services was 0.39% in 2023.