



Client Relationship Summary

Item 1: Introduction

The Roosevelt Investment Group, LLC (“our firm”, “we”, “us”) is registered with the Securities and Exchange Commission as an Investment Advisor.

Brokerage and investment advisory services and fees differ, and it is important for the retail investor to understand the differences. Free and simple tools are available to research firms and financial professionals at [Investor.gov/CRS](https://www.investor.gov/CRS), which also provides educational materials about broker-dealers, investment advisers, and investing.

Item 2: Relationships and Services

What investment services and advice can you provide me?

Our firm offers investment advisory services and financial planning services to retail investors in fixed-income and equity strategies through separately managed accounts and wrap fee programs. A ‘wrap’ account is typically an investment account advised by a broker-dealer and where the fees are all combined into a single, ‘wrapped’ fee. This could include trading costs, management fees, custodial fees and other fees. Roosevelt does not sponsor a wrap program, but you can access our strategies through wrap programs with certain broker-dealers. Our services are discretionary, meaning we can buy or sell securities without your prior approval. You may place reasonable restrictions on your account in writing. We review your accounts at your request and periodically throughout the year. For our private clients, we generally require you to have an initial account size of \$500,000. If you are investing in one of our wrap fee programs, the minimum fee will vary depending on the wrap fee sponsor, but generally you will need an initial account size of \$100,000.

FOR ADDITIONAL INFORMATION REGARDING OUR SERVICES, PLEASE SEE ITEMS 4, 7, 8, 13, AND 16 OF OUR [FORM ADV PART 2A](#).

Ask us the following questions:

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?

For our investment advisory services and wrap fee services, you will pay a percentage of the total assets you hold with us. The more money you invest with us, the more you will pay in fees therefore we have an incentive to encourage you to increase the assets in your account. For our wrap fee program your fee includes all trading, transactions, and portfolio management costs, but may be higher than our typical asset-based advisory fee. You may also incur additional costs like commissions and other fees due to some of our trading practices. For our financial planning services, you will pay anywhere from \$0-\$5,000 a year. While we do not charge the following, you will also pay fees like custodial fees, fees charged by other managers, deferred sales charges, odd-lot differentials, transfer taxes, wire and electronic funds fees, commissions, transactions fees, mutual fund and ETF fees, and account maintenance fees.

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 ADDITIONAL INFORMATION REGARDING OUR FEES, PLEASE SEE ITEM 5 OF OUR [FORM ADV PART 2A](#).



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Ask us the following question:

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 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 ARE SOME EXAMPLES TO HELP YOU UNDERSTAND WHAT THIS MEANS.

We solicit clients on behalf of our parent company, CI Financial Corp, and its affiliates, and receive payment in the form of a percentage of the fees payable to CI Financial Corp. or its affiliates. This creates an economic incentive for us to encourage you to invest with CI Financial Corp or its affiliates. We will only recommend this investment if we think it is appropriate for your financial situation.

FOR ADDITIONAL INFORMATION REGARDING OUR CONFLICTS, PLEASE SEE ITEMS 10 AND 14 OF OUR [FORM ADV PART 2A](#).

Ask us the following question:

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

How do your financial professionals make money?

In general, financial professionals earn a base salary and annual bonus, and are provided a 401(k) match. Owners of the firm also receive a proportionate share of firm profits. Some members of the investment team earn a bonus based, in part, on the revenue of the strategies they manage. Some members of the investment team, as well as the Wealth Advisors, receive a portion of the fee you pay to us which creates a conflict because they have an incentive to increase the assets you invest with us.

Item 4: Disciplinary History

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

No. Please visit [Investor.gov/CRS](https://investor.gov/CRS), for a free and simple tool to research our firm and financial professionals.

Ask us the following question:

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

Item 5: Additional Information

For additional information regarding our fees, services, and conflicts, please see our [Form ADV Part 2A](#), or visit our website at Rooseveltinvestments.com. Please contact us at 646-452-6700 for more up-to-date information or request a copy of this client relationship summary.

Ask us the following questions: 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?