

## **Martin Investment Management, LLC Form CRS** **Effective March 25, 2022**

Martin Investment Management, LLC (“MIM” or “we”) is registered with the U.S. Securities and Exchange Commission (SEC) as an investment adviser. Brokerage and investment advisory services and fees differ and it is important for you to understand these differences. Free and simple tools are available to research firms and financial professionals at [Investor.gov/CRS](http://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 portfolio management and investment advisory services to retail investors. We manage investment accounts on both a discretionary and a non-discretionary basis. A discretionary account allows us to buy and sell investments in your account without asking for your approval in advance. A non-discretionary account means that you decide what investments to buy and sell. As part of your portfolio management services, we will continuously monitor your investments and provide advice. We do not limit the types of investments that we recommend.

*For additional information, please see our [Form ADV Part 2A, Items 4, 7, 13 and 16](#).*

#### **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?**

We are customarily compensated on the basis of fees calculated as a percentage of assets under management. In some cases, we may negotiate a fixed fee. Our standard fee schedule is 1.5% of the value of a client account, however the fees charged to a particular account may be subject to negotiation and could vary from this schedule. Since the inception of our business, we have discounted our standard fee for various clients. The amount of the discount depends on a number of factors, including the nature and complexity of the services offered and the size of account. With the exception of individually negotiated fees for certain sub-advisory relationships, the range of fees paid by existing unaffiliated clients is from 1.0% to 1.5% annually, with fees on amounts above \$5 million discounted to 0.75% for some accounts. New clients may pay more or less in fees than existing clients, depending on the individual circumstances presented by each such new client. As discussed below, in certain instances we also receive performance fees.

**MIM participates as a portfolio manager in wrap fee programs, and we receive a portion of the wrap fee for our services.** Asset-based fees associated with the wrap fee program will include most transaction costs and fees to a broker-dealer or bank that has custody of these assets, and therefore are higher than a typical asset-based advisory fee. In addition, we license our certain strategies to platforms that operate other investment model programs. Pursuant to these licenses, third-party asset managers may apply our strategies to assets that they manage. In certain cases, we provide investment advisory services to clients exclusively through a web-based advisory platform. Such clients will be charged an annualized fee of 0.60% on their assets under management. The advisory fees for these web-based services will be calculated on a continuous basis, with the advisory fee being equal to the total of the daily net fees calculated during that month. On occasion, we will consult with a client on a negotiated fixed fee or hourly basis. In these cases, the fee will be negotiable and will be dependent on the time involved and the complexity of the services provided.

The more assets there are in your account, the more you will pay in fees, so we have an incentive to encourage you to increase the assets in your account.

Clients may pay other expenses in addition to the fees paid to us. For example, clients may pay costs such as brokerage commissions, transaction fees, custodial fees, transfer taxes, wire transfer fees, and other fees and taxes charged to accounts and securities transactions, which are unrelated to the fees collected by us. Mutual funds, partnerships, REITS and other collective investment vehicles also charge internal management fees, which are disclosed in the vehicle’s offering documents. MIM may enter into performance-based fee

arrangements in lieu of or in addition to the asset-based fees MIM typically charges clients. For these arrangements, MIM charges a fee that is determined by the amount of the increase in value of an account over an agreed-upon base line. MIM's standard performance-based fee is 20% of the increase over the agreed upon base line. Potential conflicts of interest are raised when MIM manages asset-based fee accounts alongside performance-based fee accounts. Performance-based fees increase as performance increases, which creates an incentive to favor these accounts in trade execution or investment allocation, or to take excessive risk. MIM could focus on higher-fee accounts or performance fee accounts due to a personal stake in compensation.

*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, please see our [Form ADV Part 2A](#) brochure Items 5 and 6.

**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 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 affect the recommendations we provide you. Here are some examples to help you understand what this means.*

Employees may invest in securities owned by clients. As such, our employees may have an incentive to give themselves priority when trading.

For additional information, please see our [Form ADV Part 2A](#) Items 11, 12, and 18.

**Conversation Starters:**

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

**How do your financial professionals make money?**

Our financial professionals are primarily compensated with a fixed annual salary, with MIM's principals also receiving compensation as equity owners of the business. In addition, employees are eligible to receive bonuses, 401k profit sharing contributions, and referral and finder's fees.

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

No. Visit [Investor.gov/CRS](http://Investor.gov/CRS) for a free and simple search tool to research us and our financial professionals.

**Conversation Starters:**

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

**Additional Information** For additional information about our services or to request a copy of Form CRS, please contact us at: PO Box 618, Winnetka, IL 60093-0618 or telephonically at (847) 424-9124.

**Conversation Starters:**

- Who is my primary contact person? Is he or she a representative of an investment-adviser or broker-dealer? Who can I talk to if I have concerns about how this person is treating me?