

Form ADV Part 3: Relationship Summary Fielder Capital Group LLC

Introduction

Fielder Capital Group LLC (“Fielder” or “we”) 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 it is important to understand the difference. You can find free and simple tools to research firms and financial professionals at <https://www.investor.gov/CRS>. This website also provides educational materials about investment advisers, broker-dealers, and investing.

What Investment Services and Advice Can You Provide Me?

Description of Services: Fielder offers investment advisory services to individual investors.

Investment Management Services: Fielder provides Investment Management Services, which involve our managing and trading your designated account(s). We may also recommend certain independent managers to actively manage a portion of your assets. In such cases, we will evaluate, select, and monitor their management and trading of your account(s). We will discuss your investment goals and design a strategy that endeavors to achieve those goals. We will continuously monitor your account when providing investment management services and contact you at least annually to discuss your portfolio. Typically, we provide investment management services on a **discretionary** basis, which means we will have the authority to determine the type and amount of securities that are bought or sold in your account. We may also, on occasion, provide investment management services on a **non-discretionary basis**, which means we will have to confirm any trades in your account with you before we place them. Fielder rarely accepts such non-discretionary engagements.

Family Office Services: Fielder provides Family Office Services which include financial planning, investment advisory, reporting, and administration services for clients who need more than investment management services.

Assets Under Advisement Services: Fielder provides Assets Under Advisement Services, which includes reporting and administrative services for a client's outside private funds and other outside assets not under Fielder's active management. See **Item 4, 5 and 16** of our **Form ADV Part 2A** for more information.

Retirement Plan Advice: We provide investment advisory services to sponsors and individual participants in retirement plans. We are available at your request to provide one-on-one advice to you as a retirement plan sponsor or participant regarding your investment options under the plan. Please see **Item 4** of our **Form ADV Part 2A** for more information about our advisory service to individual investors.

Limited Investment Offerings: We do not typically recommend one type of investment security to clients. Rather, we most often recommend broadly diversified investment portfolios designed to be suitable for each client relative to that client's specific circumstances and needs.

Account & Fee Minimums: Fielder requires a minimum of \$5,000,000 portfolio value for investment management. You can aggregate all household accounts to meet this minimum. We may accept accounts with smaller portfolios at our discretion.

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: We charge fees for our Investment Management and Family Office services that are based upon a percentage of the assets under our management. These fees are billed in advance on a quarterly calendar basis and calculated based upon the fair market value of your account as of the last business day of the previous billing period. The annualized fee is based upon a tiered fee schedule, which ranges between 0.49% and 0.77%. Alternatively, Fielder may charge an annual fixed fee ranging from \$25,000 to \$180,000 or higher. In some cases, Fielder may charge a combination of these two types of fees. Because our fee is typically based upon the value of your account, we have an incentive to recommend that you increase the level of assets in the accounts that we manage. The broker-dealer/custodian

on your account (such as Fidelity or Schwab) will charge you transaction fees for executing trades. You will also be charged internal fees and expenses by the mutual funds and ETFs that we may invest in within your account. Fees for Assets Under Advisement services are billed quarterly in advance and based upon a tiered fee schedule beginning at 0.18% and is negotiable when a client has over \$10 million in assets under advisement.

Additional Information: Please make sure you understand what fees and costs you are paying. 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. For more information about the fees we charge and the other fees and expenses you may 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 Fielder acts as your investment adviser, we have to act in your best interest and not put our interests 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: When we provide Investment Management services, we ask you to establish an account with Charles Schwab & Co., Inc. or Fidelity (National Financial Services LLC) to maintain custody of your assets. Fielder receives without cost from both Schwab and Fidelity administrative support, computer software, related systems support, as well as other third-party support. Fielder receives the support without cost because the Firm renders investment management services to clients that maintain assets at Schwab and Fidelity. Support from Schwab and Fidelity creates a conflict of interest since these benefits may influence the Firm's choice of Schwab or Fidelity over others that don't furnish similar software, systems support, or services.

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

Additional Information: For more information about our conflicts of interests and the ways we are compensated, please see **Item 5, Item 10, and Item 12** of our **Form ADV Part 2A**.

How Do Your Financial Professionals Make Money?

Description of Salary/Payment of IARs: We compensate our investment adviser representatives based on the level of client assets under management that the representative oversees or brings into Fielder. This creates a conflict of interest as it gives your representative an incentive to recommend you invest more in your account(s) with Fielder due to the potential for increased compensation.

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

No. Neither we, 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 Fielder

Additional information about us and copies of our Form ADV Part 2A disclosure brochure and this relationship summary are available on the Internet at www.fieldercapital.com. You can also find our disclosure brochures and other information about us at <https://adviserinfo.sec.gov/firm/summary/156737>. If you have any questions or want an up-to-date copy of this relationship summary, you can reach us by phone at 212-918-4860.

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?*

Exhibit A – Summary of Material Changes

Since the ADV Part 3 Brochure dated March 2023, the following material changes have been made to this Relationship Summary:

Under “How Else Does Your Firm Make Money and What Conflicts of Interest Do You Have?”	Fielder Capital does not receive soft dollar benefits in connection with client securities transactions. However, Fielder Capital has updated its language to disclose that Fielder receives, without cost from both Schwab and Fidelity, administrative support, computer software, related systems support, as well as other third-party support. Fielder receives the support without cost because the Firm renders investment management services to clients that maintain assets at Schwab and Fidelity. Support from Schwab and Fidelity creates a conflict of interest since these benefits may influence the Firm’s choice of Schwab or Fidelity over others that don’t furnish similar software, systems support, or services.
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