

Rosenblatt Global Advisors LLC
Form CRS – Client Relationship Summary
September 3, 2023

Introduction

Rosenblatt Global Advisors LLC (“RGA”) is registered with the Securities and Exchange Commission as an investment adviser. Investment advisory and brokerage 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. This site also provides educational materials about broker-dealers, investment advisers, and investing.

What investment services and advice can you provide me?

RGA provides discretionary and non-discretionary investment management services and products to institutional clients and individual investors. RGA has four asset allocation model strategies (Fixed Income Only, Cautious, Steady and Equity Only) that serve as a guideline for constructing a client portfolio customized for the client’s specific risk and return requirements and considers a client’s unique circumstances. RGA’s investments generally consist of liquid exchange-traded funds, U.S. equities whose membership is typically the members of the Russell 3000, as well as U.S. government and investment-grade fixed-income securities.

For discretionary services, you must grant RGA full discretionary authority over your account, which means, among other things, that RGA, working through a broker, can buy and sell securities in your account without seeking your permission first. Clients must open and maintain a brokerage account at Rosenblatt Securities Inc. (“RSI”), RGA’s affiliated broker, and maintain a relationship with Pershing, LLC, for execution, clearing and custody services. RGA’s investment minimum is \$5,000,000. RGA monitors client accounts on an ongoing basis, not less frequently than weekly, consistent with the terms of your investment management agreement.

For non-discretionary services, where RGA provides investment advice but does not have the authority to make investment decisions for the account, services are limited to providing investors model portfolios.

For additional information about our services, please see Form ADV disclosure brochure, Items 4, 8 and 13, which is available at: [RGA Form ADV Part 2A](#)

Conversation Starter. Ask your financial professional-

- **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?

RGA charges a monthly advisory fee typically based on a percentage of the amount of assets under management. Generally, annual fees for serves range from 1.5% to 2%, while fixed-income only services range from .10% to .25%. Fees can be individually negotiated, including a fixed fee for services. Generally, the more assets in your investment advisory account, the higher your fee will be. This arrangement creates an incentive for us to encourage you to increase the assets in your investment advisory account.

The advisory fees we charge do not reflect brokerage, custodial or other expenses that could apply to your account. The fees and expenses that an investor should expect to incur include, but are not limited to, the allocation of third-party costs in ETFs.

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 about our fees, please see Form ADV disclosure brochure, Item 5, which is available at: [RGA Form ADV Part 2A](#)

Conversation Starter. Ask your financial professional-

- **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, RGA must act in your best interest and not put our interest ahead of yours. At the same time, the way RGA makes money creates some conflicts with your interests. You should understand and ask us about these conflicts because they can affect the investment advice RGA provides you. Here are some examples to help you know what this means.

Allocation of Investment Opportunities: RGA can be incentivized to favor one account over another when allocating investment opportunities, such as selecting those accounts where RGA receives a higher fee.

Common ownership with RSI: RGA's affiliated broker-dealer, RSI, acts as the client's introducing broker and opens an account for each RGA client, and RGA will generally route equity transactions to RSI for execution. Accordingly, RGA can be incentivized to engage in excessive trading as well as routing orders to RSI for execution, rather than another broker-dealer, to increase commissions charged by RSI to the client.

To mitigate these potential conflicts, RGA's compliance reviews client's accounts to ensure trading is consistent with client's investment objectives and strategies, and that RSI trade executions comply with RGA's fiduciary duty of best execution.

Conversation Starter. Ask your financial professional-

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

For additional information about our fees, please see Form ADV disclosure brochure, Item 10, which is available at: [RGA Form ADV Part 2A](#)

How do your financial professionals make money?

In addition to non-cash compensation such as health and welfare benefits, annual compensation is generally comprised of a base salary, which constitutes either fixed compensation based on employee function or, for certain advisory employees, compensation based on the firm's assets under management; and/or discretionary variable incentive compensation (may be awarded and paid upfront and/or on a deferred basis, and compensation decisions are subject to a multi-dimensional process, which considers individual, Firm and business performance, as well as financial and non-financial performance measures, but is not tied to sales targets for specific transactions).

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

No. Please go to investor.gov/CRS for a free and simple search tool to research our firm and financial professionals.

Conversation Starter. Ask your financial professional-

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

Additional Information

You can find additional information about our investment advisory services and obtain up-to-date information and a copy of this Client Relationship Summary by contacting your financial professional or client relationship manager

by going to <https://adviserinfo.sec.gov/>, by emailing inquiries@rbltga.com or by calling: +1-212-607-3100.

Conversation Starter. Ask your financial professional-

- **Who is my primary contact person? Is he or she a representative of RGA? Who can I talk to if I have concerns about how this person is treating me?**