



COLUMBUS CIRCLE
INVESTORS

FORM CRS – June 1, 2020

Introduction

Columbus Circle Investors is registered with the Securities and Exchange Commission as an investment adviser and is providing you with this Form CRS as of June 1, 2020. Fees for brokerage and investment advisory services differ among broker-dealers and investment advisers and it is important that you understand the differences. Free and simple tools are available to research firms and financial professionals at 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 investment advisory services (portfolio management services) to qualified retail investors.

- In an investment advisory agreement, you provide us with discretionary authority to determine the investments to buy and sell in your account on an ongoing basis. You may impose reasonable restrictions on our discretionary authority. Any restrictions must be provided to us in writing and accepted by us.
- We will continuously monitor your investments. We invest in publicly traded companies within client portfolios. You are responsible for identifying and selecting one of our portfolio strategies.
- We require a minimum initial account size for portfolio management services.

Our [Form ADV, Part 2A Brochure](#), particularly Items 4 and 7, includes more detailed information on our services.

You are encouraged to ask us questions, including the following, to help you better understand our services: *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 charge a percentage of assets under management for portfolio management services. These fees are assessed on a quarterly basis, in advance. You should be aware that the more assets there are in your account, the more you will pay in fees. This means we have an incentive to encourage you to increase the assets in your account. In addition to our fees, additional fees and costs related to your account include custodian fees, transaction costs (commissions to brokers), and wire transfer and electronic fund fees.

You are encouraged to ask us questions, including the following, to help you better understand the impact of fees and costs on investments: *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?*

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. You should carefully review Item 5 of our [Form ADV, Part 2A Brochure](#) to understand the fees and costs you will pay.

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 have policies and procedures in place to ensure that our investment personnel do not take advantage of information regarding, or the timing of, investment recommendations made for your account for their personal benefit.
- We have policies and procedures in place to ensure that we do not favor affiliated accounts over your account when making investment decisions.
- We have arrangements with broker dealers to use a portion of the commissions you pay to the brokers for the purchase of investment research or trading execution capabilities. We would otherwise need to purchase this research and trading assistance with our own money. This creates an incentive to use certain brokers for trading activities. We have policies and procedures in place to make sure client commission dollars are used solely for investment research or trade execution assistance.

You are encouraged to ask us questions, including the following, to help you better understand our conflicts of interest: *How might your conflicts of interest affect me, and how will you address them?*

Our [Form ADV, Part 2A Brochure](#), particularly Items 10, 11, and 12, has more detailed information about our conflicts of interest.

How do your financial professionals make money?

Our financial professionals receive a salary and a discretionary bonus based on individual performance and the success of the firm. Their compensation is directly tied to portfolio performance and client retention. Because the portfolio manager's compensation is tied to portfolio performance, interests are aligned because they benefit if the clients benefit.

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

No, please visit Investor.gov/CRS for a free and simple search tool to research our firm and your financial professional. You are encouraged to ask us questions, including the following, to help you better understand our disciplinary history: *As a financial professional, do you have any disciplinary history? For what type of conduct?*

Additional Information

You can find additional information about our advisory services in our [Form ADV Brochure](#) and you may request up-to-date information and a copy of our Relationship Summary by contacting us at 203-353-6000 or CCICompliance@columbus.com.

You are encouraged to ask us questions, including the following, to help you better understand who to contact with any questions or complaints: *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?*