

Perkins Fund Marketing (“**We**” or the “**Firm**”) is a registered broker-dealer with the Securities and Exchange Commission (“**SEC**”) and the Financial Industry Regulatory Authority (“**FINRA**”). Please be aware that brokerage and investment advisory fees differ, and it is important for you to understand these differences. Free and simple tools are available to research firms and financial professionals on the SEC’s investment education website ([www.Investor.gov/CRS](http://www.Investor.gov/CRS)), which will provide you with educational materials about broker-dealers, investment advisers, and investing.

## **RELATIONSHIP & SERVICES**

### **WHAT INVESTMENT SERVICES AND ADVICE CAN YOU PROVIDE ME?**

Perkins Fund Marketing, LLC facilitates private placement broker-dealer services for unaffiliated investment managers. We recommend the investment manager’s private fund(s) to qualified clients, qualified purchasers and institutional investors on a best-efforts basis. Private funds are not suitable for most investors, as they are often highly speculative in nature and illiquid. Additionally, private funds often have required investment minimums only suitable for these types of investors. For additional information regarding our services, please see the Firm’s [BrokerCheck Report](#). As part of our ongoing services, the Firm will not be responsible for ongoing monitoring of your investments.

### **GIVEN MY FINANCIAL SITUATION, SHOULD I CHOOSE A BROKERAGE 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?**

## **FEES, COSTS, CONFLICTS & STANDARD OF CONDUCT**

### **WHAT FEES WILL I PAY?**

The Firm does not charge qualified clients, qualified purchasers or institutional investors in the private funds any fees or commissions for its private placement services.

**Description of Other Fees and Costs:** We recommend that investors review the investment manager’s Form ADV or the private fund’s private placement memorandum for additional information related to fees you will pay to the investment manager, such as management and performance-based fees.

You will pay management 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.

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 PROVIDING RECOMMENDATIONS? HOW ELSE DOES YOUR FIRM MAKE MONEY AND WHAT CONFLICTS OF INTEREST DO YOU HAVE?

**When we provide you with a recommendation**, 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 recommendations we provide you. Here are some examples to help you understand what this means. These conflicts involve (i) recommending a limited number of private funds whereby we receive transaction-based compensation which consists of up to 2% of the total capital amount raised; and (ii) we share the profits the investment manager earns by receiving up to 25% of the management and incentive fees charge by the investment manager. We do not engage investment managers with conflicting or similar investment strategies.

HOW MIGHT YOUR CONFLICTS OF INTEREST AFFECT ME, AND HOW WILL YOU ADDRESS THEM?

The Firm markets a limited number of private funds. Whenever we successfully place an investor into one or more of the private funds, we receive transaction-based compensation from the private fund's investment manager. As such, the Firm may be inclined to recommend a private fund to a retail investor, regardless of whether or not the recommendation is in the retail investor's best interest. The Firm addresses this conflict by collecting detailed information about each retail investor's financial condition to ensure that every recommendation is in the retail investor's best interest.

HOW DO YOUR FINANCIAL PROFESSIONALS MAKE MONEY?

Registered Representatives make money by successfully placing qualified clients, qualified purchasers or institutional investors into one or more of the investment manager's private funds.

## DISCIPLINARY HISTORY

DO YOU OR YOUR FINANCIAL PROFESSIONALS HAVE LEGAL OR DISCIPLINARY HISTORY?

We do not have any prior disciplinary history. Please visit [Investor.gov/CRS](https://www.investor.gov/CRS) for a free and simple search tool to research the Firm and its financial professionals.

AS A FINANCIAL PROFESSIONAL, DO YOU HAVE ANY DISCIPLINARY HISTORY? FOR WHAT TYPE OF CONDUCT?

For additional information, please contact us at (203) 418-2000 for up-to-date information and to request a copy of this relationship summary.

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?