

# Third Sigma Investment Advisors LLC

## Customer Relationship Summary

Form CRS

### Introduction

Third Sigma Investment Advisors LLC is registered with the Securities and Exchange Commission (SEC) as an investment adviser.

Free and simple tools are available for you to research firms and financial professionals at [www.investor.gov/CRS](http://www.investor.gov/CRS), a website maintained by the SEC. These tools can also provide you with educational materials about broker-dealers, investment advisers, and investing. Brokerage and investment advisory services and fees differ, and it is important for the retail investor to understand the differences.

### What investment services and advice can you provide me?

We offer investment advisory services and advice on a regular basis to retail and institutional investors. Our services include discussing your investment goals, designing a strategy with you to achieve your investment goals, and regularly monitoring your account. We will provide a comprehensive portfolio review at least quarterly and are available at any time to discuss your investment portfolio. In addition, we provide educational seminars and workshops.

We provide discretionary and non-discretionary advisory services. Our discretionary authority is generally granted, at the outset of our advisory relationship in our client agreement, to select the identity and amount of securities to be bought or sold during your advisory relationship with us. We exercise such discretion in a manner consistent with the stated investment objectives, limitations and restrictions imposed upon us by you. Our investment advice generally covers equities, fixed income, options and mutual funds. Other firms could provide advice on a wider range of choices, some of which may have lower cost. We generally require that clients have a minimum of \$300,000 in investment assets to open and maintain an account with us, however, we may waive the minimum in our sole discretion.

For additional information please see our Form ADV, Part 2A brochure, Items 4 and 7. Contact us at 302-656-1111 and we will be happy to discuss with you. Additional information can be found on our website: [www.thirdsigmadadvisors.com](http://www.thirdsigmadadvisors.com).

**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?

#### **Principal Fees and Costs**

Retail and Institutional investors will incur the fees described below for investment advisory services, which are negotiated between you the client, and your financial advisor. The principal fees for investment advisory services are as follows:

- Asset-based fees, which are based upon a percentage of the assets managed by us.

We do not charge for Educational Seminars. Our fees are negotiable. The amount you pay will depend, for example, on the services you receive and the amount of assets in your account. Additionally, the amount paid to us and your financial professional generally does not vary based on the type of investments we select on your behalf. The asset-based fee will be deducted from your account. *The more assets you have in the advisory account, including cash, the more you will pay us. We therefore have an incentive to increase the assets in your account. You pay our fee quarterly even if you do not buy or sell your investment assets*

#### **Other Fees and Costs**

You will also pay transaction fees, and other transaction related third-party costs and expenses incurred in in management of your assets. These costs include charges imposed by custodians, such as custodial fees, wire transfer and electronic fund fees, and other fees and taxes on custodial brokerage accounts and securities transactions. We try to keep the costs down by selecting to lowest fee process possible.

#### **Additional Information**

**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.**

See our Form ADV, Part 2A brochure, Items 5 and 12. as applicable and other applicable documents for additional information regarding our fees and costs.

**Conversation Starter: Ask your financial professional and start a conversation about 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?**

## **What are your legal obligations to me when acting as my investment adviser?**

**When we act as your investment adviser, we have to act as a fiduciary and in your best interest and not put our interests ahead of yours. At the same time, the way we make money may create conflicts with your interests. Here are some examples to help you understand what this means:**

- Your custodian provides services us, including research, execution, brokerage, custody and access to mutual funds and other investments. Additional products and services provided assist us in managing and administering clients' accounts. These services are provided based in part on the assets held at the respective custodians, and as such, creates an incentive for us to direct clients to their custodial platforms. For additional information, please see our Form ADV Part 2A, Item 12 and 14.

### **Additional Information**

For more detailed information about our conflicts of interest, see our Form ADV, Part 2A brochure, Item 12 and 14.

**Conversation Starter: Ask your financial professional -**

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

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

Your investment advisor earns compensation based upon a portion of the revenue we earn from you for providing you with those advisory services. As a result, your investment advisor professional may have a financial incentive not to reduce fees. Additionally, your investment advisory representatives are compensated based on factors such as the amount of client assets they service, and the time and complexity required to meet a client's needs.

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

**No**, neither your financial professional nor we have any legal or disciplinary history.

Visit [www.investor.gov/CRS](http://www.investor.gov/CRS) for a free and simple search tool to research us and our 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**

For additional information regarding our services. If you would like additional, up-to-date information or a copy of this disclosure, please contact George Cones by phone at 302-656-1111, or by email at [george.cones@thirdsigmaadvisors.com](mailto:george.cones@thirdsigmaadvisors.com).

**Conversation Starter: Ask your financial professional -**

- **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?**