

## Form CRS: Customer Relationship Summary (03/01/2024)

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*Rockingstone Advisors, LLC is registered with the Securities and Exchange Commission (SEC) as an investment advisor. Brokerage and investment advisory services and fees differ, and it is important for you to understand those differences. Free and simple tools are available to research firms and financial professionals at [www.investors.gov/CRS](http://www.investors.gov/CRS), which also provides educational materials about broker-dealers, investment advisors, and investing.*

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

We offer discretionary portfolio management services. Our investment advice is tailored to meet our clients' needs and investment objectives. If you participate in our discretionary portfolio management services, we require you to grant our firm discretionary authority to manage your account. Discretionary authorization will allow us to determine the specific securities, and the amount of securities, to be purchased or sold for your account without your approval prior to each transaction.

We may also offer non-discretionary portfolio management services or act as an Outsourced Chief Investment Officer (OCIO). If you enter into non-discretionary arrangement with our firm, we must obtain your approval prior to executing any transactions on behalf of your account. You have an unrestricted right to decline to implement any advice provided by our firm on a non-discretionary basis. If you enter into an OCIO relationship, we may select third-party managers to invest your assets.

We manage separate accounts that are typically custodied at Schwab, Fidelity, Interactive Brokers and Gemini Trust Company. We regularly monitor each client's portfolio and may rebalance a client's portfolio based on the clients' needs. Our minimum investment is typically \$1 million, and you will have to deposit those funds into a brokerage account at a qualified custodian (please see *Item 12: Brokerage Practices* from our Form ADV Part 2A Brochure).

### Conversation Starters: 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?

You should expect to pay a fee for investment advisory services every quarter, or in the case of digital accounts, every month. You agree to this fee when you sign your Investment Advisory Agreement (IAA), which contains the fee schedule for your account(s). Your fee will be automatically deducted from your custodial account following the end of each calendar quarter for public assets, or in the case of digital assets, at the end of each month. This fee is in addition to any other fees that may be incurred. Although the effective management fee rate will decrease the larger your account, the total management fees you will pay will likely increase as you increase the total amount of assets under our management, and therefore we generally have an incentive to encourage transferring or depositing additional assets into

your account. You will pay fees and costs whether you make or lose money on your investments. Please make sure you understand what fees and costs you are paying. That said, our performance is measured net of fees, so we are incented and aligned with you to minimize fees (please see *Item 5: Fees and Compensation* from our Form ADV Part 2A Brochure).

Conversation Starters: 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 advisor? How else does your firm make money and what conflicts of interest do you have?

*When we act as your investment advisor, 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:*

Conversation Starters: Ask your financial professional-

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

How do your financial professionals make money?

We are paid through ownership distributions that are derived through profit earned by the Firm from our asset management advisory services. This compensation is highly variable depending on our revenues and profits.

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

No. If you would like more information, please go to <https://www.investor.gov/CRS> for a free and simple research tool to research your financial professionals at Rockingstone Advisors.

Conversation Starters: Ask your financial professional-

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

### Additional Information

For additional , including up-to-date information about the firm and/or a copy of this disclosure, please call our Chief Compliance Officer, Brandt Sakakeeny, at 212-430-2240. To report a problem to the SEC, visit Investor.gov or call the SEC's toll-free investor assistance line at (800) 732-0330. If you have a problem with your investments, investment account or a financial professional, you may contact us in writing at 292 Main Street, STE 32, Great Barrington, MA 01230.

Conversation Starters: Ask your financial professional-

- Who is my primary contact person? Is he or she a representative of an investment advisor or broker dealer?
- Who can I talk to if I have concerns about how this person is treating me?