



Autumn Lane Advisors, LLC is registered with the Securities and Exchange Commission (SEC) as an investment adviser. Brokerage and investment advisory services and fees differ, and it is important for you to understand these differences. Free and simple tools are available at <https://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 high-net worth individuals and families personalized, holistic Wealth Management services, access to private investments, and comprehensive financial planning. Our family office approach to Wealth Management aims to deliver a personalized and disciplined process that, in coordination and facilitation with your third-party providers:

1. Accounts for your investible assets;
2. Considers your risk and tax exposures;
3. Reviews your estate plan; and
4. Constructs and executes an investment plan for your portfolio.

**Conversation Starter:**

Given my financial situation, should I choose an investment advisory service?

Our client relationships may be Advisory or Consulting. Under an Advisory relationship, we take discretionary trading authority of your account(s), which means that we have the ability to place trades in your account without your prior approval. A client-approved investment policy statement provides a guide to our actions on your behalf. We also offer a non-discretionary Consulting relationship that includes consolidated reporting of investments at multiple custodians, multiple private investments, next generation education, and family governance assistance. In these cases, you make the ultimate decision regarding the purchase and sale of investments in your accounts.

**Conversation Starter:**

Why or why not? How will you choose investments to recommend to me?

We do not have any material limitations on the markets or instruments in which we may invest for you. We will utilize exchange traded funds, mutual funds, stocks, bonds and derivatives, in addition to private partnership opportunities, based on your individual investment objectives, risk tolerance and need for liquidity.

As part of our standard service, we will provide ongoing monitoring of your portfolio which includes a review of your asset allocation, cash position and overall holdings. Additional reviews may be triggered by market events.

Requirements to open and maintain an account: We do not impose a minimum account size for new accounts; however, we do have minimum annual fees which depend on the scope of our services to you, and whether you are also utilizing us for Advisory or Consulting services. We also have a \$1 million account minimum for participating in one of our pooled investment vehicles and have several other pooled investment vehicles with no specified minimum.

For additional information, please see **items 4,7,8, 12 and 13** of our [Form ADV, Part 2A](#) brochure.

**Conversation Starter:**

What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?

## What fees will I pay?

We base our quarterly fee for Advisory services on a percentage of your assets under management which means that the more assets there are in your account, the more you will pay in fees. Therefore we may have an incentive to encourage you to increase the assets in your account. Our Consulting fees have a

higher minimum fee, but a lower percentage of assets fee. While we are compensated for managing your investments in an Autumn Lane-sponsored private partnership, we credit this income toward your overall fees.

In addition, in some of our private partnerships, we will charge annual performance-based fees calculated from net profits to the limited partner or carried interest after specified investment milestones are met. Our fees do not include other costs assessed by a Fund or your custodian such as transaction, wire, exchange or custodial fees.

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 and review Items 5, 6 & 12 in our [Form ADV, Part 2A](#).

**Conversation Starter:**

Help me understand how these fees and costs might affect my investments.

If I give you \$5 million 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, we must 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. For example, if you choose to participate in any of our private partnerships, you do not pay us additional fees for this service. However, the partnerships are not liquid, and you could not withdraw your investment individually. If you terminated our Advisory or Consulting relationship, you would no longer pay us fees for Wealth Management services, but you would continue to compensate us for managing that partnership.

**Conversation Starter:**

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

Please see Items 5, 6, 10, 11 & 12 of our [Form ADV, Part 2A](#) Firm Brochure and also available at [www.autumnlanelc.com](http://www.autumnlanelc.com).

## How do your professionals make money?

Our personnel receive a salary and a discretionary bonus based on individual performance and the success of the firm.

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

No. For additional information, please refer to our [Form ADV, Part 2A](#), Item 9 and also available at [www.autumnlanelc.com](http://www.autumnlanelc.com), or you can visit <https://investor.gov/CRS> for free and simple search tool to research us and our financial professionals.

**Conversation Starter:**

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

**Conversation Starter:**

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?

## Additional Information

If you would like additional, up-to-date information or a copy of this disclosure, please call us at (713) 636-2075 or email us at [steve.oldham@autumnlanelc.com](mailto:steve.oldham@autumnlanelc.com). Additional information is also available on the SEC's website at <https://www.adviserinfo.sec.gov>.