

CUSTOMER RELATIONSHIP SUMMARY - Form CRS
Wellfleet Investments, LLC.

Wellfleet Investments, LLC. (Wellfleet) is registered with the Securities and Exchange Commission ("SEC") as a Broker-Dealer, is a member of Financial Industry Regulatory Authority, Inc. ("FINRA"), and the Securities Investor Protection Corporation ("SIPC"). This Form CRS contains important information about the types of services Wellfleet offers, along with general information related to compensation, conflicts of interest, disciplinary action, and other reportable legal information. Free and simple tools are available to research firms and financial professionals at [Investor.gov/CRS](https://www.investor.gov/crs), which also provides educational materials about broker-dealers, investment advisers, and investing.

What investment services and advice can you provide me?

Wellfleet offers limited investment products and services. Wellfleet currently operates in two specific lines of business:

Wellfleet offers Investment Banking Services to Issuers of Equity and Debt Securities.

Wellfleet also offers Managed Account referral Services to Family Offices and High Net Worth Individuals. As part of our Managed Account Referral Services, we do not enter into a fiduciary relationship with you. It is your responsibility to monitor the investments you make, and we encourage you to do so regularly. We do not commit to providing ongoing monitoring of your investments. Wellfleet refers clients to large Money Managers who will manage your account assets. All managed account activity is administered by a third-party Money Manager with whom the client will establish a managed account agreement.

- Given my financial situation, should I choose a Managed Account service? Why or why not?
- What is your relevant experience, including your licenses, education, and other qualifications? What do these qualifications mean?

What fees will I pay?

The third-party Money Manager will charge a Quarterly fee based upon the total Assets Under Management and can range between 1% and 3% dependent upon the amount of the Assets Under Management. Managers utilized by Wellfleet typically require a minimum of \$10 Million to establish a relationship.

Wellfleet is referred to as a Finder in such types of transactions and will receive a finder fee from the Money Manager for accounts introduced. The finder fee paid Wellfleet is disclosed to the client by the Money Manager, with no additional Fees charged by Wellfleet.

You will pay fees whether you make or lose money on your investments. You may reduce any amount of money you make on your investments over time. Please make sure you understand what fees you are paying. Additional information about the fees charged is available in the Managed Account Agreement provided by the Money Manager.

When considering our services, ask your financial professional:

- Help me understand how fees and costs might affect my overall investment. If I give you \$10,000,000 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 as my broker-dealer? How else does the firm make money, and what conflicts of interest do you have?

Wellfleet does not make investment recommendations to its customers. We provide customers with the ability to meet with Top Tier Money Managers who are typically not obtainable at the minimum investment threshold amounts available to Wellfleet. Fees received by Wellfleet are the result of referral agreements which Wellfleet maintains with various Top Tier Investment Managers. Wellfleet does not receive direct compensation from the client.

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Registered Representatives may invest in the same products offered to customers. Wellfleet has procedures to monitor the personal trading activities and securities holdings of each of its Registered Representatives and includes procedures for limitations on personal securities transactions of associated persons. These policies are designed to discourage and prohibit personal trading that would disadvantage customers.

When considering our services, ask your financial professional:

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

Additional information about our conflicts of interest is available in our Regulatory Best Interest Disclosure Brochure and your Customer Agreement.

How do your financial professionals make money?

Wellfleet is compensated with a Finder Fee directly by the Investment Manager. This Fee amount charged by the Money Manager to client is outlined in the Investment Management Agreement between the Money Manager and the client. Wellfleet is compensated a portion of the Fee charged for its introductory services to the Money Manager.

When considering our services, ask your financial professional:

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

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

Yes. You can visit <https://www.Investor.gov/CRS> for a free and simple search tool to research our financial professionals and us.

When considering our services, ask your financial professional:

- Who is my primary contact person?
- Is she or he 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?

To report a problem to the SEC, visit [Investor.gov](https://www.investor.gov) or call the SEC's toll-free investor assistance line at (800) 732-0330. To report a problem to FINRA, visit <https://www.finra.org/investors/have-problem/file-complaint>. If you have a problem with your investments, an account, or our financial professional, contact us in writing at Wellfleet Investment LLC, 85 87 Covert Ave, Second Floor Rear, Floral Park, New York 11001

Additional Information

Additional information, including our most recent Relationship Summary, is available by calling Wellfleet Investments LLC at (516) 487-7450 or email to jbega@wellfleetinvestments.com to request up-to-date information and a copy of the Relationship Summary or by visiting <https://brokercheck.finra.org/firm/summary/18488>.