

**ATALANTA SOSNOFF CAPITAL, LLC**  
**ATALANTA SOSNOFF MANAGEMENT, LLC**  
**ADV PART 3 - FORM CRS (CUSTOMER RELATIONSHIP SUMMARY)**  
**MARCH 25, 2022**

### **Introduction**

Atalanta Sosnoff Capital, LLC ("ASC"), and its wholly owned subsidiary Atalanta Sosnoff Management, LLC ("ASM") (collectively the "Company") are each registered with the Securities and Exchange Commission as an investment adviser. Brokerage and investment advisory services and fees differ, and it is important for you, the retail investor, to understand the differences. Free and simple tools are available to research firms and financial professionals at <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?**

We offer investment advisory services to retail investors, trusts, tax exempt accounts, charitable organizations, State and Municipal government entities and corporations. We offer these services through the selection of

*Below are some questions you as a retail investor may wish to ask us about our relationship and the services we provide you:*

- *"Given my financial situation, should I choose an investment advisory service? Why or why not?"*
- *"How will you choose investments to buy and sell for me?"*
- *"What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?"*

stocks, bonds, exchange traded funds and mutual funds in separately managed accounts and via certain broker sponsored wrap programs. Our minimum account size for retail accounts is typically \$500,000. Your assets are held in your account in your name at a qualified custodian such as Charles Schwab, RBC Royal Bank and Morgan Stanley. Your funds are not pooled or mixed with the assets of other clients. Included as part of our standard services is continuously

monitoring your account and reviewing the cash balances and securities in your account daily. We have accepted discretionary investment authority of your assets that allows us to purchase and sell stocks, bonds, exchange traded funds and mutual funds without consulting you. We buy and sell specific assets that we feel are best to keep your portfolio aligned with our agreed upon ratio of stocks, bonds and cash.

The hyperlink below provides more detailed information about our services.

<https://adviserinfo.sec.gov/firm/summary/104880> for ASC and <https://adviserinfo.sec.gov/firm/summary/11085> for ASM. Please refer specifically to "View latest Form ADV filed" Items 4, 7 and 8.

### **What fees will I pay?**

Our Company charges a fee every three months based on a percentage of the market value of your assets under our management. For detailed information please refer to our Form ADV Part 2A Section 5 and 6 by clicking <https://adviserinfo.sec.gov/firm/summary/104880> for ASC and <https://adviserinfo.sec.gov/firm/summary/11085> for ASM.

Since we collect an asset-based fee, the more assets there are in your account, in general the more you will pay in fees and the firm may therefore have an incentive to encourage you to increase the assets in your account. The custodian that holds your funds (Charles Schwab, RBC Royal Bank, etc.)

may charge a fee for buying or selling securities in your account (commissions) or a bundled (wrap) fee that

*You may wish to ask us:*

*"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?"*

includes commissions and other custodial/maintenance fees. You should review the fees charged by your custodian closely to understand the total expenses on your account. The Company does not charge any performance type fees. The exchange traded fund and mutual fund (iShares, Vanguard, etc.) deducts a fee (the expense ratio) from your assets held in that fund. 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.

**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 interests ahead of yours. At the same time, the way we make money creates some conflicts with your interests. For example, when the Company advises you to add new assets into your accounts managed by us we receive compensation from those additional assets managed by our Company. We do have a financial incentive to increase your assets under

*You may wish to ask us,  
“How might your conflicts of interest affect me, and how will you address them?”*

our management. Our only source of revenue is from the investment management fees paid by our clients. We therefore have no financial incentive to sell for you any particular stock, bond, exchange traded fund or mutual fund nor do we make any compensation based on the transactions in your account.

You should understand and ask us about these conflicts.

The hyperlink below provides more detailed information about our services. <https://adviserinfo.sec.gov/firm/summary/104880> for ASC and <https://adviserinfo.sec.gov/firm/summary/11085> for ASM. Please refer specifically to “Part 2A Section 5, 6 & 8.

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

Our employees are compensated through a salary and bonus. Certain sales and marketing employees receive a commission based on a percentage of the revenue earned on clients they introduce to the Company. Your fees are not impacted by the employee commissions.

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

We do not, as noted in our Form ADV Part 1 <https://adviserinfo.sec.gov/firm/summary/104880> for ASC and <https://adviserinfo.sec.gov/firm/summary/11085> for ASM.

**Where can you find additional information?**

You can search for information on our Company and our financial professionals with a free and simple search tool at <https://www.investor.gov/CRS>

For additional information about our investment advisory services visit our Company website: <https://atalatasosnoff.com> and you can obtain an up-to-date copy of this relationship summary or other information at 212-867-5000 or on our website.

*You, as a retail investor, may wish to ask a financial professional and start a conversation about the contacts and complaints:*

- *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?*

If you have any concerns about how you are treated by a contact person at our Company, please feel free to contact one of our Sales and Marketing Professionals or William DiPietro, our Chief Compliance Officer, at our company office at 212-867-5000.