

Sauberan & Company, LLC

February 24th 2021

FORM CRS

Sauberan & Company, LLC is an investment advisory firm registered with the Securities and Exchange Commission (“SEC”). Fees for brokerage and investment advisory services differ and it is important for you to understand the difference. 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?

For retail clients, we provide investment advisory services that include wealth management, financial planning, portfolio management and pension consulting services. If you open an advisory account with our firm, we’ll meet with you to understand your current financial situation, existing resources, objectives, and risk tolerance. Based on what we learn, we’ll recommend a portfolio of investments that is monitored daily. We manage accounts on a discretionary basis.

After you sign an agreement with our firm, we’re allowed to buy and sell investments in your account without asking you in advance. Any limitations will be described in the signed advisory agreement. We will have discretion until the advisory agreement is terminated by you or our firm.

Our firm requires a minimum account balance of \$500,000 to open and maintain an account. Additional information about our advisory services is located at <http://www.sauberanandcompany.com/about-us> click on DISCLOSURE BROCHURE.

Questions to Ask Us:

- ♠ **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 those qualifications mean?**

What fees will I pay?

Fees and costs affect the value of your account over time. You will be charged an ongoing quarterly fee based on the value of the assets in your account in arrears at the end of each quarter. Further information regarding our fees can be located at <http://www.sauberanandcompany.com/about-us> click on DISCLOSURE BROCHURE.

Questions to Ask Us:

- ♠ **Help me understand how these fees and costs will 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? How else does your firm make money and what conflicts of interest do you have?

When we act as your investment adviser, 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 may create 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. Further information regarding any potential conflicts can be located at <http://www.sauberanandcompany.com/about-us> click on DISCLOSURE BROCHURE.

Questions to Ask Us:

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

How do your financial professionals make money?

Our financial professionals are compensated based on the revenue they earn from their advisory services or recommendations, 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, our firm and our financial professionals do not have any legal or disciplinary history to disclose. Visit <https://www.investor.gov/CRS> for a free and simple research tool.

Questions to Ask Us:

♠ **As a financial professional, do you have any disciplinary history?**

♠ **For what type of conduct?**

Additional Information

You can find additional information about our firm's investment advisory services on the SEC's website at www.adviserinfo.sec.gov by clicking on the FIRM tab and then searching CRD #38553. If you would like additional, up-to-date information or a copy of this disclosure, please call (716) 439-1265.

Questions to Ask Us:

♠ **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?**