

MARINER PLATFORM SOLUTIONS

Form CRS Relationship Summary - June 30, 2020

Mariner Platform Solutions, LLC (“MPS”) is 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 to understand the differences. 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?

MPS provides personal financial planning, reporting, consulting, and investment advisory services to a variety of clients, including retail investors. Our advisors invest client assets in a wide variety of investment strategies and asset classes, including equities, fixed income and real assets. Typically, when providing investment advisory services, we have full discretion to select investments to buy and sell for a client’s account. Clients may impose reasonable restrictions, limitations, or other requirements with respect to their accounts. Accounts are tailored to address the specific goals, objectives, and constraints of each client. We consider a range of factors that can impact the investment management process, including risk tolerance, investment time horizon, and cash needs. We monitor investment strategies as part of an ongoing process while regular account reviews are conducted on at least an annual basis. We may impose minimum account size requirements with respect to certain of our advisory services. Where requested, we also provide financial planning and/or consulting services (e.g., estate planning, tax consulting, etc.). With these services, reviews are conducted on an “as needed” basis or as agreed to within the terms of the agreement.

More detailed information about the services offered by MPS can be found in our Form ADV, Part 2A brochure.

Conversation Starters. Ask your financial professional –

- *Given my financial situation, should I choose an investment advisory service? Should I choose a brokerage service? Should I choose both types of services? Why or why not?*
- *How will you choose investments to recommend to me?*
- *What is your relevant experience, including licenses, education and other qualifications? What do these qualifications mean?*

What fees will I pay?

MPS generally offers our advisory services for a fee based on assets under management as further described in the client agreement. We will generally bill our fees in advance on a quarterly basis based upon the value of assets under management on the last day of the previous quarter, as valued by the custodian or another independent third-party. As a result, more assets in an account means more fees which creates an incentive for us to encourage clients to increase the amount of assets in an account. Fees for financial planning, reporting, and/or consulting services can be based on a percentage of assets or a flat or hourly rate. The structure and level of our fees will vary based upon the services provided and other considerations deemed relevant by us.

The fees charged by MPS are exclusive of other fees and expenses applicable to each client’s account, including brokerage commissions, banking fees, custodial fees, transaction fees and certain investment-related expenses. Our fees are exclusive of the fees and expenses charged by other advisers, mutual funds, closed-end funds, ETFs, and private funds, including affiliated private funds. More detailed information about fees and costs can be found in Item 5 of our Form ADV, Part 2A brochure.

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.

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 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 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.

Together with our affiliates, we offer a variety of services to clients beyond investment advisory services. As further disclosed in our Form ADV Part 2A, our affiliates charge fees in addition to our fees and we receive compensation for referring clients to an affiliate. Certain of our associates are licensed insurance agents and are compensated for the sale of insurance-related products. To the extent such insurance products have commissions payable to the advisor, this presents a conflict of interest for the advisor to recommend such products for additional compensation.

More detailed information about conflicts of interest can be found in our Form ADV, Part 2A brochure.

Conversation Starters. Ask your financial professional –

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

How do your financial professionals make money?

Individuals registered as investment adviser representatives of MPS are compensated based on a percentage of the advisory fees payable to MPS by a client. Certain of our advisors are licensed insurance agents and are compensated for the sale of insurance-related products. From time to time, we may receive indirect compensation from service providers or third-party vendors in the form of gifts, entertainment, training sessions, tokens of appreciation, meals and/or gratis attendance at industry conferences, meetings and other similar educational events.

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

Yes. Please refer to Investor.gov/CRS for a free and simple search tool to research our firm and our financial professionals.

Conversation Starters. Ask your financial professional –

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

For additional information about our services, please refer to our Form ADV, Part 2A brochure. If you have any questions about the contents of this form or would like up-to-date information or a copy of Form CRS, please contact us at (855) 937-0307.

Conversation Starters. Ask your financial professional –

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