



FORM CRS

A SUMMARY OF YOUR ADVISORY RELATIONSHIP WITH ALPHA CAPITAL FAMILY OFFICE, LLC.

March 14, 2024

ITEM 1 – INTRODUCTION

Alpha Capital Family Office, LLC is registered with the Securities and Exchange Commission (SEC) as an Investment Adviser. Brokerage and Investment Advisory fees differ, and it is essential for you to understand these differences. Free and simple tools are available to research firms and our Financial Professionals at [Investor.gov/CRS](https://www.investor.gov/crs), which also provides educational materials about broker-dealers, Investment Advisers, and general education about investing.

ITEM 2 – RELATIONSHIPS AND SERVICES

WHAT ADVISORY SERVICES AND ADVICE CAN YOU PROVIDE ME?

We are a multi-generational firm that assists families by creating intentional plans around their life, family, business, community, and wealth. Our Firm offers family office services and investment management services to retail investors on a discretionary basis. In a discretionary account, you have granted written investment authority to your Financial Professional to execute purchase and sell orders in your advisory accounts without consulting with you first. You may limit our discretion, such as by imposing reasonable restrictions on investing in certain securities or groups of securities. We monitor your investment advisory accounts, and specific investments within your accounts, on an ongoing basis to align with your investment goals. This service is included as part of the Firm's standard advisory services. Our firm requires a minimum account value of \$2,000,000 in order to provide advisory services to you. Our firm provides advice and consultation on some or all of the following depending on your needs:

- Establish, prioritize and timeline client's goals and objectives
- Review and coordinate all professional advisors
- Create and maintain personal financial website and App (Advizon)
- Cash flow planning
- Tax planning with your tax advisor
- Business planning
- Estate planning
- Insurance and risk management
- Charitable planning
- Asset protection planning and titling

QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL:

- ☒ 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 these qualifications mean?

FOR MORE INFORMATION REFER TO OUR FIRM'S ADV PART 2A BROCHURE - ITEM 4, 7, 8, 13 & 16

ITEM 3 – FEES, COSTS, CONFLICTS, AND STANDARD OF CONDUCT

WHAT FEES WILL I PAY?

Our Firm receives a fee as compensation for providing advisory services to you. The advisory management fee includes investment management supervision, trade entry, and financial planning services described in Item 2. Your investment performance is reported net of your fees. Family office service fees are fixed and range from \$0 to \$250,000. Investment management fees are based upon a percentage of assets under management not to exceed 1.50%. Fees are based on the work and complexity of your accounts. The custodian charges transaction costs, custodial fees, redemption fees, retirement plan, and administrative fees or commissions. Fees for consulting services are negotiated on an hourly or fixed dollar amount. For wrap fee program accounts, you will receive investment advisory services and the execution of securities brokerage transactions for a single specified advisory fee. Because wrap fee programs bundle service fees into a single fee, total fees to a client in a wrap fee program may be more or less than obtaining such services separately. You will pay fees and costs whether you make or lose money on your investments. These fees and costs will reduce the amount of money you make on your investments over time. Ask your Financial Professional about the fees you will pay.

QUESTIONS TO 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?

FOR MORE INFORMATION REFER TO OUR FIRM'S ADV PART 2A BROCHURE - ITEM 5

**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. We are paid a flat dollar fee as described in Item 3. Our Firm is required to disclose commonly owned entities that would provide different services to you and generate additional compensation to our Firm or its Financial Professionals. Please note that you always have a right to choose services and products from our affiliated entities or any other firm that provides similar services and products. Our firm allows our Financial Professionals to invest in the same securities as you; therefore, our Financial Professionals may have an incentive to favor their personal accounts over your advisory account. Our Financial Professionals are required to follow a Code of Conduct and their personal securities accounts are supervised on an ongoing basis. Lastly, some of the products, services and other benefits provided by your custodians are used in servicing all of our Firm's advisory accounts and therefore may not directly benefit your advisory account. If you have questions about whether any of these situations could apply to your investments, ask your Financial Professional.

QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL:

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

PLEASE REFER TO OUR FIRM'S ADV PART 2A BROCHURE - ITEM 10, 11, 12, & 14

HOW DO YOUR FINANCIAL PROFESSIONALS MAKE MONEY?

Our Firm's Financial Professionals are compensated by the advisory fees as described above in Item 3 Fee section. Our Financial Professionals are compensated based on the amount of time spent, and the complexity required to meet the client's needs. However, you have the right to decide whether to act on the recommendation. We recognize our duty to place your interests first and have established policies in this regard to avoid any conflicts of interest. While some of our Firm's Financial Professionals are engaged in Outside Business Activities, they are required to disclose material outside business activities and any conflict it may pose to you. Our Firm supervises the outside business activities of our Financial Professionals through our compliance program, and our Financial Professionals are required to follow a Code of Conduct to mitigate any conflicts to you.

FOR MORE INFORMATION REFER TO OUR FIRM'S ADV PART 2A BROCHURE – ITEM 5, 10, 11, 12,& 14

ITEM 4 – DISCIPLINARY HISTORY

DO YOU OR YOUR FINANCIAL REPRESENTATIVES HAVE DISCIPLINARY HISTORY?

YES. Visit Investor.gov/CRS for a free and simple search tool to research us and our financial professionals.

QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL:

- ☒ As a Financial Professional, do you have any disciplinary history? For what type of conduct?

FOR MORE INFORMATION REFER TO OUR FIRM'S ADV PART 2A BROCHURE - ITEM 9

ADDITIONAL INFORMATION

For additional information about our investment advisory services visit the SEC's website at www.adviserinfo.sec.gov. Our firm's IARD number is: 307521. You may also contact us directly for up-to-date information and to request a copy of the relationship summary at: 303-900-1911.

QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL:

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

MATERIAL CHANGES SINCE LAST FILING

On August 6, 2022, the Firm updated item 4 to reflect “yes” under disciplinary history. On March 24, 2022, the Firm updated Form CRS for annual amendment. Formatting and hyperlink changes were made. On March 20, 2023, the Firm update the Form CRS to reflect the Firm no longer has Investment Adviser Representatives that carry insurance licenses. Additionally, the Firm has changed its portfolio and financial planning software to Advyzon.

On March 14, 2024, the Firm updated Item 2 to reflect: We are a multi-generational firm that assists families by creating intentional plans around their life, family, business, community, and wealth. Our Firm offers family office services and investment management services to retail investors on a discretionary basis. The Firm updated Item 3 to reflect: Family office service fees are fixed and range from \$0 to \$250,000. Investment management fees are based upon a percentage of assets under management not to exceed 1.50%.