



## ArrowMark Form CRS – Customer Relationship Summary

*June 30, 2020*

**Item 1.**

**Introduction**

ArrowMark is registered with the Securities and Exchange Commission (SEC) as an investment adviser. Brokerage and investment advisory services and fees differ, and it is important for you to understand these differences. Free and simple tools are available to research firms and financial professionals at [Investor.gov/CRS](http://Investor.gov/CRS), which also provides educational materials about broker-dealers, investment advisers, and investing.

**Item 2.**

**Relationships and Services**

**What investment services and advice can you provide me?**

**Investment Services**

We provide fee-based investment advisory services to institutional investors and, on a limited basis, to high net worth investors. We serve as a discretionary investment manager and manage portfolios across various investment strategies, including small- and mid-cap equities, alternative credit and multi-asset, and in accordance with the clients' investment guidelines.

**Monitoring**

Investments and portfolios are reviewed by the strategy's portfolio manager(s), with input from the research analyst team, on an ongoing basis as a matter of standard practice rather than pursuant to any triggering event. The respective Investment Committee members, which include firm partners and senior portfolio managers, meet on a regular basis to review specific investment strategy portfolios and monitor overall risk. Specific account level reviews will be conducted as needed based on a change in investment objective, economic / macro environment or requested by the client.

**Investment Authority**

We typically have full investment discretion over our clients' separately managed accounts through the execution of a limited power of attorney included in ArrowMark Partners' Investment Management Agreement (IMA). This agreement allows the buying and selling of investments on behalf of the respective client without seeking permission on a trade-by-trade basis.

**Limited Investment Offering**

We do not limit our advice to proprietary products, or a limited menu of products or types of investments.

**Account Minimums and Other Requirements**

Separate account minimums generally range from \$10 million to \$25 million based on the underlying investment strategy and available capacity but may be negotiable.

**Additional information** about ArrowMark's investment advisory business, client types and services are available in Part 2 of our Form ADV, which is available at <https://adviserinfo.sec.gov/firm/summary/149120>.

**Conversation Starters.** 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?**

**Item 3.**

**Fees, Costs, Conflicts, and Standard of Conduct**

<b>A. What fees will I pay?</b>	<b>B. 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?</b>
<p>We charge an investment management advisory fee based on the respective terms of the executed Investment Management Agreement. Advisory fees range from 0.20% to 1.00% of assets per annum, depending on the investment strategy and account size. The advisory fee is calculated in arrears and collected quarterly. Additionally, certain strategies charge a performance-based incentive fee, which is negotiable and may be subject to a performance "hurdle" and/or "high water mark."</p>	<p>When we act as your investment adviser, we act in your best interest and do not put our interest ahead of yours. At the same time, the way ArrowMark makes 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 to you. Here are some examples to help you understand what this means.</p>



Additional information about fees are included in Item 5 of Part 2 of our Form ADV, available at <https://adviserinfo.sec.gov/firm/summary/149120>.

In addition to the investment management advisory fee, clients bear trading costs and custodial fees associated with administering a separately managed account. These expenses may include (i) all costs and expenses of transferring existing assets to the account; (ii) all taxes and governmental fees and charges incurred by the account (including all withholding taxes); (iii) all brokerage commissions and other trading costs and fees, underwriting discounts, sales loads, spreads and other similar charges; and (iv) all charges of U.S. depositories and of any custodian and/or other service providers.

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 Starter.** 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?**

Potential conflicts of interest may arise in the course of selecting investments for acquisition and disposition, allocating resources and expenses, allocating securities or investments sold by our fund(s) or separate account to another fund or separate account, and pricing valuation of separate account assets where such valuation will determine our investment management advisory fee. We have adopted policies and procedures to address many, if not all, these potential conflicts of interests.

Additionally, some of the broker-dealers we trade with may allocate a portion of the commissions that our clients pay to be used by us to pay for research. These “soft dollar” arrangements help our firm make investment decisions, but they can have the effect of increasing clients’ transaction costs.

In addition to the separately managed account portfolios, our firm, or our affiliate, receives compensation for serving as the investment adviser to various registered funds and an investment company, privately offered limited partnerships and corporate investment vehicles, and collateralized loan obligation funds.

**Conversation Starter.** Ask your financial professional—

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

Additional information about conflicts of interest between ArrowMark and its clients is available in Part 2 of our Form ADV, which is available at <https://adviserinfo.sec.gov/firm/summary/149120>

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

Our financial professionals receive a base salary and may be eligible to receive an annual discretionary bonus. Compensation is set with the intention of attracting and retaining highly qualified professionals. Compensation is based on a variety of factors, including the number, value and complexity of accounts under management, client satisfaction and retention.

**Item 4.**

**Disciplinary History**

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

Yes

No

Visit [Investor.gov/CRS](http://Investor.gov/CRS) for a free and simple search tool to research us and our financial professionals.

**Conversation Starter.** Ask your financial professional—

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

**Item 5.**

**Additional Information**

**Additional information** about our services can be found at <https://adviserinfo.sec.gov/firm/summary/149120>. If you have any questions about the contents of this brochure or would like to request a copy of this relationship summary, please contact us at 303-398-2929.

**Conversation Starter.** Ask your financial professional—

- **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?**