

# TJIM Client Relationship Summary (Form CRS)

**Tom Johnson Investment Management, LLC**

Tom Johnson Investment Management, LLC is a registered investment adviser with the Securities and Exchange Commission (SEC).

Brokerage and investment advisory services and fees differ, 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?**

TJIM builds equity, fixed income, and balanced (equity + fixed income) portfolios for you based on your objectives and risk tolerances. This effort can also encompass developing a financial plan, setting investment strategy, and reviewing results. We offer our services to a broad range of clientele that include retirement, foundation, corporate, and taxable clientele. We offer our services direct to the client, or clientele can also access us through consultant platforms (i.e. wrap-fee and model portfolio programs).

For additional information, please see our TJIM Form ADV, Part 2A brochure Items 4 Advisory Business and Item 8 Methods of Analysis, Investment Strategies and Risk of Loss. For education and business experience information regarding TJIM Investment Professionals, see TJIM Form ADV Part 2B and on our website at [www.tjim.com](http://www.tjim.com).

*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?*

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

Investment fees are calculated on a calendar quarter basis and are based upon the market value of the assets, including cash, at the close of the quarter. Fees are negotiated in certain cases as indicated in our fee schedule. Additionally, certain accounts may desire limited investment management services which could result in a negotiated fee.

Neither TJIM nor any of its supervised persons receive compensation for the sale or purchase of securities or other investment products, including asset-based sales charges or service fees from the sale of mutual funds. TJIM is **not** affiliated with any brokerage firm.

The wrap-fee and model programs charge a program fee that includes a portion that is paid to TJIM for our investment management services. Overall program charges may include such other services as: investment management, consulting, trade execution, performance measurement, client reporting and custody.

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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.

For additional information, please see TJIM ADV Part 2A Brochure, Item 4 Advisory Business and Item 5 Fees and Compensation.

*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.

TJIM only makes money by providing investment advisory services, as mentioned above. TJIM has a fiduciary duty to its investment clients to act solely for their benefit, and therefore, it has adopted a Code of Ethics designed to avoid potential conflicts of interest and to prevent any conduct in breach of this duty.

For additional information, please see TJIM Form ADV, Part 2A brochure, Item 11 Code of Ethics, Participation or Interest in Client Transactions and Personal Trading.

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

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

TJIM is paid a quarterly percentage fee on the assets under management (AUM), negotiated in advance of the client relationship. TJIM's financial professionals do not receive any additional compensation based on sales awards, client referrals, or transaction activity.

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

No. Visit [Investor.gov/CRS](https://www.investor.gov/CRS) for free and simple search tool to research you and your financial professionals.

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

For additional information about our services please visit our website at [www.tjim.com](http://www.tjim.com). If you would like additional, up-to-date information or a copy of this disclosure, please call 405-236-2111.

*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?*

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