



RVX Asset Management, LLC
Form ADV Part 3 – CRS (Customer Relationship Summary)
June 29, 2020

Item 1: Introduction

RVX Asset Management, LLC (“we” or “the Adviser”) is registered with the Securities and Exchange Commission (“SEC”) as an investment adviser.

Is An Investment Advisory Right For You?

It is important for you to understand the difference in fees and services between brokerage firms and investment advisers. Free and simple tools are available to research firms and financial professionals at 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? We offer investment advisory services through discretionary and non-discretionary programs in accordance with your investment objectives pursuant to an Investment Advisory Agreement (“IAA”). Our investment advisory activities focus on investments in various kinds of assets and securities in a variety of markets that are intended to fit within your objectives, strategies and risk profile as described by you. We work with you to identify your investment goals and objectives, as well as risk tolerance, in order to create a portfolio allocation strategy designed to complement your financial situation and personal circumstances. Discretionary separately managed accounts are customized for you to fit within the your objectives, strategies and risk profile as described by each client. We offer services on a non-discretionary basis, which means that you make the ultimate decision regarding the purchase or sale of investments recommended by us. We also serve as investment adviser to Funds, structured as open-end investment company incorporated offshore. We provide investment advice and recommendations to the Funds’ investment manager in relation to the Funds in accordance to the IAA. We ordinarily require each account to have a minimum of \$1,000,000, although smaller amounts may be accepted and maintained at our discretion.

Given my financial situation, should I choose an investment advisory service? There are different ways you can get help with your investments. You should carefully consider which types of accounts and services are right for you. We are an investment adviser and provide advisory accounts and services rather than brokerage accounts and services. This document gives you a summary of the types of services we provide and how you pay. You select a brokerage firm or bank to handle your security purchases and hold your assets in safekeeping. Please ask us for more information.

What experience, licenses, education and other qualifications do your professionals have? What do these qualifications mean? Our investment adviser team maintains over 100 years of collective investment experience with securities such as mutual funds, equities, bonds, fixed income, debt securities, ETFs, real estate, hedge funds, third party money managers, private placements, and government securities. Our team members hold the Chartered Financial Analyst (CFA) designation.

How will you choose investments to recommend to me? We review your financial situation and try to learn the important facts. We use individual stocks, funds, and/or bonds. A financial professional, referred to as a portfolio manager, is assigned to the day-to-day management of your account. There is ongoing communication and face-to-face meetings with you. Our investment analysis methods include using a “Top-Down” thematic approach for Fixed Income/Alternative Strategies and “Bottom-Up” fundamental approach for Long Only Equities Strategies. Our investment strategy for you is based upon the objectives stated by you in the Investment Policy Statement (“IPS”). To achieve your objectives and strategy objectives we monitor global macroeconomic, geopolitical and industry trends. Our strategies may include long-term purchases, short-term purchases, trading, short sales, margin transactions, and other strategies. In some cases, we might advise on private investments made by you.

Conversation Starters Ask your financial professional

- **Given my financial situation, should I choose an investment advisory service?**
- **Given my financial situation, 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?**

Item 3: Fees, Costs, Conflicts and Standard of Conduct

What fees will I pay? For non-fund clients, we receive compensation as established in each client’s written agreement with us. At times, our fees may be flat or fixed upon negotiation. Management fees typically range between 90 basis points (bps)



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and 200 bps of the value of your net assets under management and are generally payable quarterly in arrears. All fees are negotiable. Management fees are billed to you. In some cases, we may charge a performance fee. The performance fee generally equals 20% per annum of the net profit in your account, typically subject to a loss carryforward adjustment and a “high water mark”, and is generally payable in arrears at the end of each calendar year. Additionally, you will incur certain charges imposed by custodians, brokers, third party investment advisers and other third parties such as fees charged by managers, deferred sales charges, odd-lot differentials, transfer taxes, wire transfer and electronic fund fees, and other fees and taxes on brokerage accounts and securities transactions, if applicable given the nature of the transaction. 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.

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. Any conflicts of interest related to recommendations of other professionals will be disclosed to you in the event they should occur. Additionally, investment managers to Funds in which we serve as investment adviser, in their sole discretion, may follow our advice and recommendations or elect not to utilize such information. This arrangement represents a conflict of interest since it provides a different economic incentive for us to recommend investments in the Funds. We are responsible for recommending investments based on your investment objectives and risk tolerance.

How do your financial professionals make money? Neither we nor any of our supervised persons (employees) accept compensation for the sale of securities or other investment products. Our financial professionals are solely compensated on a salary basis.

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? Your fee does not vary based on the type of investments we select on your behalf. The asset-based fee reduces the value of your account and will be deducted from your account. You may experience fees paid to a broker-dealer or bank that holds your assets. The more assets you have in the advisory account, including cash, the more you will pay us. We therefore have an incentive to increase the assets in your account in order to increase our fees. You pay fees and costs whether you make or lose money on your investments. Fees and costs reduce your investment over time. Please make sure you understand what fees and costs you are paying. As your investment adviser, we will 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.

Item 4: Disciplinary History

Do you or your financial professionals have legal or disciplinary history? As noted on Form ADV Part 1, Item 11, we do not have a legal or disciplinary history. Please visit Investor.gov/CRS for a free and simple search tool to research us or our financial professionals.

Item 5: Additional Information

Where is additional information available? Seek out additional information. Visit Investor.gov for a free and simple search tool to research our firm and our financial professionals. To report a problem to the SEC, visit Investor.gov or call the SEC’s toll-free investor assistance line at (800) 732-0330. If you have a problem with your investments, investment account or a financial professional, contact us in writing at 20900 NE 30th Avenue, Suite 401, Aventura, Florida 33180. For additional information on our investment advisory services, see our Form ADV on IAPD on Investor.gov. Information regarding our firm can be found at adviserinfo.sec.gov or by calling our firm at (305) 363-6890 for up-to-date information.

Who is the primary contact person at your firm? An investment adviser representative (portfolio manager) will be assigned your account.

Who can you talk to if you have concerns about how this person is treating you? You may reach our Chief Compliance Officer, Pia Monaghan, at (305) 363-6890, and your concerns will be addressed immediately.