Form CRS — Customer Relationship Summary

Deep Blue Financial LLC

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CRD #: 170446

Website: www.dbfwm.com

Email: contact@dbfwm.com

Phone: (312) 307-3222

1. Introduction

Deep Blue Financial LLC is an investment adviser registered with the State of Illinois. Investment advisory and brokerage services and fees differ, and it's important you understand those differences. Free and simple tools are available to help you research firms and financial professionals at https://www.investor.gov/CRS.

2. What investment services and advice can you provide me?

We offer investment advisory services to retail investors, including:
- Portfolio management (discretionary and non-discretionary)
- Retirement income planning
- Account monitoring

We require a minimum of $1,000,000 to open or maintain an account, which may be waived at our discretion.

We typically manage your account on a non-discretionary basis, meaning we do not make trades without asking you in advance. If you prefer, we can also manage assets discretionarily, which means your approval is not required before each transaction.

Conversation Starters:
- “Given my financial situation, should I choose an investment advisory service? Why or why not?”
- “How will you choose investments for me?”
- “What is your relevant experience, including licenses, and other qualifications?”

3. What fees will I pay?

You will pay an asset-based fee for our advisory services. Fees are negotiated individually with clients based on assumed work. Fees will be communicated directly with clients. Here is an example of typical fees:

Assets Managed	Annual Fee
$1M - $3M	1.00%
$3M–$5M	0.90%
$5M+	0.80%

- Fees are charged quarterly in arrears and deducted from your account, we will attempt to charge a clients main taxable account for all fees first to allow for itemization for tax purposes if allowed.
- Additional fees may include custodial fees, fund expenses, and trading costs.
- We do not receive commissions, revenue sharing, or product-based compensation.

Conversation Starter:
- “Help me understand how these fees and costs might affect my investments.”

4. What are your legal obligations to me as my investment adviser?

When we act as your investment adviser, we have to act in your best interest and not put our interest ahead of yours. This is called a fiduciary duty.

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

☑ No.

You can research us and our professionals at https://www.investor.gov/CRS.

6. Additional Information

For more information or to request a copy of this summary, please contact:

Adam Faust, Managing Member
Phone: (312) 307-3222
Email: adam@dbfwm.com
Website: www.dbfwm.com