

Donald L. Hagan, LLC
d/b/a: Day Hagan Private Wealth
April 10, 2024
FORM CRS

Donald L. Hagan, LLC dba Day Hagan Private Wealth is registered with the Securities and Exchange Commission as an investment adviser and, as such, we provide advisory services rather than brokerage services. Brokerage and investment advisory services and fees differ and it is important for you, our client, to understand the differences. Additionally, free and simple tools are available to research firms and financial professionals at [Investor.gov/CRS](https://investor.gov/CRS), which also provides educational materials about broker-dealers, investment advisers, and investing. This document is a summary of the services and fees we offer to "retail" investors, which are natural persons who seek or receive services primarily for personal, family, or household purposes.

What investment services and advice can you provide me?

We offer the following investment advisory services to retail investors: **Financial Planning Services, Portfolio Management Services, Pension Consulting Services, and Selection of Other Advisers.** We are also the adviser to Exchange Traded Funds (ETFs). Detailed information regarding our services, fees and other disclosures can be found in our Form ADV Part 2A Items 4, 7, and 8 by clicking this link <https://adviserinfo.sec.gov/firm/brochure/139671>.

- **Account Monitoring:** If you open an investment account with our firm, as part of our standard service we will monitor your investments on a continuous basis.
- **Investment Authority:** We manage investment accounts on a **discretionary** basis whereby **we will decide** which investments to buy or sell for your account. We have discretion to select, retain or replace third-party managers to manage your accounts. You may limit our discretionary authority (for example, limiting the types of securities that can be purchased or sold for your account) by providing our firm with your restrictions and guidelines in writing. We also offer **non-discretionary** investment management services whereby we will provide advice, but **you will ultimately decide** which investments to buy and sell for your account. You have an unrestricted right to decline to implement any advice provided by our firm on a non-discretionary basis.
- **Investment Offerings:** We provide advice on various types of investments. Our services are not limited to a specific type of investment or product; however as the adviser to ETFs we will recommend those investments to our clients when appropriate and suitable for them.
- **Account Minimums and Requirements:** In general, we require a minimum account size to open and maintain an advisory account, which may be waived in our discretion.

Key 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?**

What fees will I pay?

The following summarizes the principal fees and costs associated with engaging our firm for investment advisory services. For detailed information, refer to our Form ADV Part 2A, Items 5 and 6 by clicking this link <https://adviserinfo.sec.gov/firm/brochure/139671>.

- **Asset Based Fees** - Payable quarterly in advance. Since the fees we receive are asset-based (i.e. based on the value of your account), we have an incentive to increase your account value which creates a conflict especially for those accounts holding illiquid or hard-to-value assets;
- **Fixed and Hourly Fees** - The fee for financial planning or consulting services depends on the scope and complexity of the services requested and are due and payable upon completion of the contracted service. For those clients who request specific or very limited consulting related services, we offer an hourly fee which is dependent on the complexity of your financial situation. These fees are calculated and payable at the completion of each session;
- **Commissions** - Commissions on insurance and annuity business are shared by the individual investment adviser representative and the Company;
- Clients also pay additional fees and costs, such as: Custodian fees; Account maintenance fees; Fees related to mutual funds and exchange-traded funds; Transaction charges when purchasing or selling securities; and Other product-level fees associated with your investments.

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.

Key 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?**

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.

- **Revenue Sharing with Un-Affiliated Companies:** Our firm has several revenue sharing arrangements with un-affiliated companies for fees earned for management of our ETFs and for management of several blocks of accounts traded in our strategies.
- **Third-Party Payments:** We directly compensate outside entities for marketing the Day Hagan ETFs to other registered investment advisers and broker dealers. If you are an investor in our ETFs, your investment adviser may have been solicited by one of these entities. These entities are compensated by our firm with a set fee for their services. They are not compensated per transaction. You will not pay additional fees because of our compensation arrangement. This creates a conflict of interest; however, you are not obligated to invest in our ETFs.
- **Third-Party Payments:** Persons providing investment advice on behalf of our firm are licensed as independent insurance agents. See below for more information.

Refer to our Form ADV Part 2A by clicking this link <https://adviserinfo.sec.gov/firm/brochure/139671> to understand our conflicts.

Key Questions to Ask Your Financial Professional

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

How do your financial professionals make money?

- Our financial professionals are compensated by receipt of a salary, bonus, product sales commissions, and by receiving a percentage of the fees collected from their client's accounts. Financial professionals' compensation is based on the amount of client assets they service and the products sold (i.e. differential compensation). We also receive compensation from managing our ETFs which creates a conflict of interest when we recommend those investments to you.
- Some persons providing investment advice on behalf of our firm are licensed as independent insurance agents. and will earn commission-based compensation for selling insurance products to you. These commissions are separate and in addition to our advisory fees. This presents a conflict of interest because they have a financial incentive to recommend insurance products to you. You are under no obligation to purchase insurance products through any person affiliated with our firm.

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

No, for our firm. Yes, for our financial professionals. These events are disclosed in the specific individual's Form U4 and/or Form ADV Part 2B Supplement. These documents can be found by going to: Investor.gov/CRS.

Key Questions to Ask Your Financial Professional

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

You can find additional information about your investment advisory services and request a copy of the relationship summary at 941-330-1702 or click the link provided <https://adviserinfo.sec.gov/firm/brochure/139671>.

Key Questions to 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?**

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Exhibit to Form CRS

Day Hagan Private Wealth is required to update its Form CRS when information in the Form CRS becomes materially inaccurate. This Exhibit summarizes the following material changes to the firm's Form CRS, implemented on June 20, 2023:

We no longer advise on a mutual fund. We closed The Day Hagan Smart Value Fund on January 26, 2024.