

Nia Impact Advisors, LLC
Form CRS Customer Relationship Summary
February 29, 2024

Nia Impact Advisors, LLC (d/b/a Nia Impact Capital) (“Nia”) is an investment advisor registered with the U.S. Securities and Exchange Commission (“SEC”). The services of and fees for brokerage and investment advisory services differ and it is important for you to understand those differences. Free and simple tools are available to you to research Nia, other firms and financial professionals at [Investor.gov/CRS](https://www.investor.gov/CRS), where you may also find important educational materials about broker-dealers, investment advisors and investing.

What investment services and advice can you provide me?

We offer investment advisory services to retail investors, like you. We build actively managed portfolios designed to harness the innovative social purpose of investment, seeking solutions-focused companies whose executive teams demonstrate a high-level of commitment to diversity, transparency, employee engagement, and ecological sustainability. Nia offers financial planning, investment management and sub-advisory services to third-party advisors.

Our financial planning services include annual or periodic review of the financial plan, monitoring of your investments under the financial plan and consultation regarding the purchase or sale of securities. As a financial planning client, you are under no obligation to act upon any of our recommendations or to do so through us. Unless clients specifically request in writing that we manage all or part of their account on a non-discretionary basis, for investment management and sub-advisory services, we accept full discretionary authority to select equity securities on behalf of our clients. Nia portfolio

companies include diversity in leadership, either on the executive management team or serving on the board of directors. We invest primarily in exchange-listed securities, and in American Depositary Receipts (“ADRs”). We seek solutions focused companies in our equity portfolios and find innovation across cap-sizes. Nia also may appoint one or more independent investment advisors as a sub-advisor to manage the assets held in your client account.

Ask your financial professional the following questions:

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?

As part of our investment management services, we review your managed account regularly, no less often than quarterly. We will also review your account at any time upon request, or upon certain events, such as large trade or cash transactions in your account, a change in your investment objectives and under extreme market conditions.

Nia employs an actively managed strategy, within a buy-and hold-philosophy, designed to achieve long-term capital growth. We typically maintain

discretionary authority (i.e., transacting in securities without consulting with you first) until it is terminated by you. We generally require a minimum portfolio size of \$100,000 but we reserve the right to waive this minimum and accept or decline a potential client for any reason.

For further information about our services and advice please read Items 4, 7, and 8 of our Form ADV Part 2A disclosure brochure. Click [here](#) for a copy or go to www.adviserinfo.sec.gov.

What fees will I pay?

For our investment management services, we charge an annual investment management fee based on a percentage of your assets under management (“AUM”) in accordance with the fee schedule found in your investment advisory agreement. Our advisory fee is charged quarterly in arrears. For example, if your account had a value of \$500,000, assuming a quarterly fee of .375% quarterly (or 1.5% annually), your account would be charged \$1,875 at the end of the quarter. Advisory fees are negotiated on a client-by-client basis. Because our fee is based on a percentage of the value of your account,

Ask one of our financial professionals the following questions:

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?

there is an incentive to encourage you to invest more money with us (although your fee percentage goes down as your account value increases). NOTE: You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce any amount of money on your investments over time. Please make sure you understand what fees and costs you are paying.

For financial planning, we charge an hourly fee between \$200 and \$500 per hour or a flat fee between \$1,500 and \$10,000. Fees are negotiable based upon the specific nature of the client's needs, the complexity of the client's investment profile, size of asset pool, service requirements, and the full extent of the client's relationship with us. Minimum annual fees may apply.

Also, you will pay additional fees to third parties in connection with your investment management account that include, but are not limited to, brokerage commissions, transaction fees, custodial fees, odd-lot differentials, transfer taxes, wire transfer and electronic fund fees, and other fees and taxes. When a sub-advisor is appointed to manage part of a client's assets, fees may be paid to both the sub advisor and us, but combined they will not exceed the advisory fee rate listed in the investment management agreement. Nia negotiates all fees payable to the sub-advisors as more fully described in our Form ADV Part 2A.

More detailed information about our fees and other costs associated with investing, along with applicable conflicts can be found in Items 5, 10, and 14 of our Form ADV Part 2A disclosure brochure, found [here](#) or at www.adviserinfo.sec.gov.

What are your legal obligations to me when acting as my investment advisor? How else does your firm make money and what conflicts of interest do you have?

When Nia acts as your investment advisor, we have a fiduciary duty to act in your best interest and not put our interest ahead of yours. However, due to the relationships we have and the compensation we earn conflicts with your interests are created. You should understand and ask us about these conflicts because they can affect the investment advice we provide you. Here is an example to help you understand what this means:

Soft Dollar Transactions and Benefits:

Nia Impact Advisors has determined that the industry standard of generating soft dollar benefits to the Company through soft dollar commissions paid by clients to executing brokers is fraught with potential and actual conflicts of interest; therefore, it is Nia Impact Advisors' policy to not engage in soft dollar transactions.

Ask your financial professional:

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

More detailed information about our conflicts of interest can be found in Items 4, 5, 8, 10, 11, 12, and 14 of our Form ADV Part 2A disclosure brochure. Click [here](#) for a copy or go to www.adviserinfo.sec.gov.

How do your financial professionals make money?

Dr. Kristin Hull, Founder and CEO of Nia, is the majority owner of the firm and primary financial professional servicing our clients. For this, Dr. Hull shares in the profits and losses of the firm. Additional information about compensation arrangements for Nia professionals and related conflicts of interest are found in Nia's Form ADV Part 2B.

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

No. Please go to www.Investor.gov/CRS for a free and simple search tool to research us and our financial professionals.

Ask your financial professional:

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

Additional Information

Additional information and a copy of this Form CRS can be found at www.adviserinfo.sec.gov by searching "Nia Impact Advisors, LLC," or by contacting us at 4900 Shattuck Ave #3648 Oakland, CA 94609, by phone at (510) 319-9221, or by visiting our website.

Ask your financial professional:

Who is my primary contact person? Is he or she a representative of an investment advisor or a broker-dealer? Who can I talk to if I have concerns about how this person is treating me?