

ITEM 1. INTRODUCTION

T. Anton Investment House, Inc. is registered with the Securities and Exchange Commission as an investment adviser. The selection of an appropriate type of firm to work with is key as brokerage and investment advisory services and fees differ and 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, which also provides educational materials about broker-dealers, investment advisers, and investing.

ITEM 2. RELATIONSHIPS AND SERVICES

Conversation Starters:

- ◆ *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 investment services and advice can you provide me?

Services Provided: TAIH can provide you with the services of financial planning and portfolio management for individual and business level.

If you hire TAIH for investment advisory services, we will offer the following:

- At least annually we will meet with or contact a client to review the previous financial plan's information and the client's account performance.
- Our firm invests on a discretionary basis.
- TAIH offers management of common and preferred stocks, bonds, municipal securities and mutual funds. It is likely that most securities will be available; however, some exceptions may apply.
- TAIH typically requires a \$500,000 account minimum; however, we do accept smaller accounts on a case by case basis.

Additional Information: T. Anton Investment House, Inc. acts as a fee only fiduciary. As a fiduciary, an investment adviser is to make only those recommendations that demonstrably are in the client's own best interests, which means that they, too, must be based on an individual's stated and/ or established, individual needs, goals, risk tolerance and investment time horizon. The firm seeks to establish this personal dimension through a careful, fact-finding interview and discussions with each client. TAIH may use proprietary models in the process of constructing a clients portfolio. Clients may impose reasonable restrictions on the adviser's discretion to invest in certain securities or types of securities if a client provides clear, written directions to that effect. The client allows the power of discretion to an adviser by means of a limited trading authority, which the client may revoke at any time. There is more information regarding services provided on our ADV Part 2. You may obtain a copy of our ADV Part 2 by contacting us at (608) 501-1549.

ITEM 3. FEES, COSTS, CONFLICTS, AND STANDARD OF CONDUCT

Conversation Starters:

- ◆ *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 fees will I pay?

Management Fees: TAIH charges a fee for continuous advice according to the assets under management. TAIH calculates the fee quarterly in arrears based on the value of the account on last business day of the preceding quarter. Investment management service fees are negotiable at the adviser's sole discretion, based on facts such as prior relationship or expected future additions to an account.

The fee schedule is as follows:

- 1.00% on the first \$1,000,000 under management
- 0.80% on the next \$1 million
- 0.60% on amounts over \$2 million

Due to our fee being structured based on assets in your account, an inherent conflict of interest arises, namely, TAIH and its advisers are incentivized to encourage you to place additional assets in your account or keep assets in your account. We address this conflict through disclosure in this document, as well as review of our advisers' recommendations to ensure that all recommendations are in the best interest of the customer. Other Costs: When placing a transaction order to buy or sell securities,

advisory clients have to pay any or all of the following charges in addition to the advisory fees charged by TAIH in the event such charges are incurred. Those potential additional charges include transfer fees, administrative and management fees for investments in mutual funds and exchange-traded funds, custodian fees, ticket charges, 12b-1 fees on mutual fund assets transferred into the management of T. Anton Investment House. When such instances occur, we strive to transfer or exchange the assets for a mutual fund or share class that does not charge such fees. T. Anton Investment House does not receive 12b-1 fees.

Neither the firm nor any of its supervised persons accepts compensation for the sale of securities or other investment products, including asset-based sales charges or service fees from the sale of mutual funds. TAIH's only compensation is those management fees provided for above.

Additional Information: 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. There is more information regarding fees and costs on our ADV Part 2. You may obtain a copy of our ADV Part 2 by contacting us at (608) 501-1549.

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?

Standard of Conduct: 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 that we provide to you. Here are some examples to help you understand what this means.

Examples of Ways You Make Money and Conflicts of Interest: As explained above, we make a percentage of your assets that we manage. Due to this structure, a higher account balance means you will pay a higher amount in fees. Therefore, TAIH may have the incentive to encourage the investor to increase the assets in their account.

Additional Information: There is more information regarding possible conflicts of interest on our ADV Part 2.

How do your financial professionals make money?

Compensation: TAIH financial professionals are compensated on salary with the opportunity to earn a bonus. Neither the firm nor any supervised person receives a performance fee.

Conversation Starters:

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

ITEM 4. DISCIPLINARY HISTORY

Conversation Starters:

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

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

No. None of our financial professionals have legal or disciplinary history to disclose. For more information, visit investor.gov/CRS for a free and simple search tool to research us and our financial professionals.

ITEM 5. ADDITIONAL INFORMATION

Conversation Starters:

- ◆ *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?*

For more information on our firm and services, please visit the SEC's Investment Adviser Public Disclosure website at <https://adviserinfo.sec.gov/>, our website at <https://tantoninvestmenthouse.com/index.html>. You may also contact Tracey Anton at (608) 501-1549 with specific questions, concerns, or complaints, to request up-to-date information, or to request a copy of the Firm's current Customer Relationship Summary or ADV.