

**Client Relationship Summary (Form CRS/Form ADV Part 3)
March 2021**

Item 1: Introduction

High Pointe Capital Management, LLC (“High Pointe”) is a registered investment adviser with the U.S. Securities and Exchange Commission (“SEC”). Clients and prospective clients should be aware that services and fees between investment advisers and broker-dealers differ and it is important for retail investors to understand these differences. A free, simple tool to research firms, financial professionals and educational material about broker dealers, investment advisers and investing is available at www.Investor.gov/crs

Item 2: Relationships and Services

What investment services and advice can you provide to me? High Pointe offers portfolio management and investment advisory services to high net-worth individual clients on equity and balanced strategies; and institutional clients on equity strategies. Our practice is to exercise discretion (the ability to buy and sell securities in your account without your permission) in managing your account.

For advisory services clients, assets are placed in individual securities, including exchange traded vehicles (ETVs) and ADRs, mutual funds, fixed income and cash equivalents based on a specific, agreed-upon asset allocation policy and investment guidelines. We limit the type of investments used as not every type of investment vehicle is needed to create an appropriate portfolio.

As part of our services, we monitor the securities in your account on an ongoing basis. We review your asset allocation on a quarterly basis to ensure compliance with your policy and guidelines. We depend on you to inform us of any changes to your investment objectives and/or financial situation.

High Pointe does not take custody of your assets. You give High Pointe the discretion to buy and sell securities in your custodial account. High Pointe’s discretion remains in effect until you revoke it or you ask us to terminate the relationship.

For additional information about our advisory services, please see Items 4 and 7 of Form ADV Part 2A.

Additional questions you should ask and understand:

Given my financial situation, should I choose an investment advisory service? Why or why not?

How will you choose investments you recommend to me?

What is your relevant experience, including your licenses, education, and other qualifications? What do these qualifications mean?

3. Fees, Costs, Conflicts and Standard of Conduct

What fees and costs will I pay? Our fees vary depending on the services you receive and account minimums, investment guidelines, and fees stated in the advisory agreement. Most of our clients pay us investment advisory fees as a percentage of the value of assets in their account. The fees are paid quarterly in arrears. The beginning and ending quarters are prorated and in all other quarters one-fourth (1/4) of the annualized fee is charged at the end of each quarter based on end of the quarter portfolio

value. For a limited number of clients invested in High Pointe sponsored limited partnerships (“LPs”), the asset-based fees are paid monthly in arrears. Minimum size and fees are negotiable from the stated standards. *For additional information* on stated fees and how fees are charged, please see Item 5 in our Form ADV Part 2A.

Any additional costs you pay depends on the services you receive and the type of investments you hold in your account. For clients that hold mutual funds or ETVs, the funds will charge you a fee that is in addition to the fees paid to High Pointe. In addition, your accounts pay their share of trading costs.

High Pointe in choosing these third-party mutual funds and exchange traded vehicles seeks a balance of quality and cost to meet your agreed upon objectives. Our goal is to keep the costs you pay reasonable as fees and costs will reduce the amount of money you make on your investments over time. You will pay fees and costs whether your portfolio makes or loses money over the quarter. Please make sure you understand what fees and costs you are paying.

Additional questions you should ask and understand:

Help me understand how these fees and costs on my account 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 is your legal obligation to me when acting as an investment adviser? When we act as investment adviser, we have to act in your best interest and not put our interests above yours.

How else does your firm make money and what conflicts of interest do you have? High Pointe benefits from the services we provide to you but only by the fees you pay to us for managing your accounts. The more assets you have in your account, the more you pay us. We, therefore, have an incentive to increase your assets in your accounts, in compliance with the investment guidelines agreed upon in our agreement, in order to increase our fees.

We do not receive any compensation from anyone besides you in the form of management fees. For a limited number of clients who may also be invested in High Pointe sponsored LPs, we ensure LP assets are excluded from fee calculation to avoid double layering of fees. In certain situations, we may share our fee with third parties, and this would be disclosed to you and would be at no additional cost to you.

Item 4: Disciplinary History

Do you or your financial professionals have a legal or disciplinary history? No, we do not and have not ever had a legal or disciplinary history or event. You can go to www.investor.gov for a search tool to research us and our financial professionals.

Item 5: Additional Information

Additional questions to ask and understand:

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

If you have any questions about our services, or if you wish to request a copy of Form CRS, contact Ritu Dhingra at 312.726.2500 ext. 103 or rdhingra@highpointecapital.com. For additional information on our services see our Brochure at www.adviserinfo.sec.gov.firm.