

## Client Relationship Summary

Chaince Securities, LLC

December 2025

Chaince Securities, LLC is registered as a broker-dealer with the US Securities and Exchange Commission (“SEC”) and is a member of FINRA and the Securities Investor Protection Corporation (“SIPC”). Brokerage and investment advisory services differ, and it is important for the retail investor 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.

## **WHAT INVESTMENT SERVICES AND ADVICE CAN YOU PROVIDE ME?**

We offer brokerage services to retail and institutional customers of our affiliate. We participate in private placements and public offerings of securities and act as an agent in over-the-counter trading of debt and equity securities. We may make recommendations to retail customers concerning such securities.

We do not monitor your investments. We do not accept discretionary authority over your account, and you make the ultimate decision regarding the purchase or sale of investments. We do not have a minimum account size.

### **You should ask the broker you work with the following questions:**

- 1. Given my financial situation, should I choose a brokerage service? Why or why not?*
- 2. How will you choose investments to recommend to me?*
- 3. What is your relevant experience, including your licenses, education and other qualification? What do these qualifications mean?*

## **WHAT FEES WILL I PAY?**

We charge transaction-based fees (commissions) to retail investors. You will be charged more when there are more trades in your account. We therefore have an incentive to encourage you to trade often. 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. More detailed information about fees and costs associated with your account can be found by emailing the firm at [karenx@chaincesecurities.com](mailto:karenx@chaincesecurities.com).

**You should ask the broker you work with:** *“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 PROVIDING RECOMMENDATIONS? HOW ELSE DOES YOUR FIRM MAKE MONEY AND WHAT CONFLICTS OF INTEREST DO YOU HAVE?**

When we provide you with recommendations, 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 recommendations we provide you. Here are some examples to help you understand what this means:

- When we place securities in a public offering or private placement, we are compensated by the issuer of the securities
- When we trade securities for your account, we will receive commissions, which give us an incentive to encourage you to trade more.

**You should ask your broker:** *“How might your conflicts of interest affect me, and how will you address them?”*

## **HOW DO YOUR PROFESSIONALS MAKE MONEY?**

Our brokers are compensated by salary and bonus not directly related to investment banking assignments and also through commissions based on customer trading and fees paid. This compensation is in the form of cash, and representative who are employees of the firm are eligible for bonuses paid in stock of the parent company, Mercury Fintech Holding.

## **DO YOU OR YOUR FINANCIAL PROFESSIONALS HAVE LEGAL OR DISCIPLINARY HISTORY?**

Yes. You can visit [Investor.gov/CRS](https://www.investor.gov/crs) for a free and simple search tool to research our Firm and our brokers. **You should ask your broker:** *“As a financial professional, do you have any disciplinary history? For what type of conduct?”*

You can find additional information about our brokerage services and you can request an up-to-date copy of this relationship summary from your broker or by calling 646 283 7120.

**You should ask your broker:** *“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?”*