

HBK Sorce Brokerage LLC (HBKS®) is a broker dealer which registered with the Securities and Exchange Commission (SEC) and is a member of the Financial Industry Regulatory Authority (FINRA). 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 www.investor.gov/CRS, which also provides educational materials about broker-dealers, investment advisers, and investing.

What investment services and advice can you provide me?

Brokerage Transaction Services: We provide brokerage services where we buy and sell mutual funds on behalf of the client, and may make recommendations on which mutual funds to buy or sell. We are limited to buying and selling mutual funds in the State of Ohio, and currently only sell products from one mutual fund provider. We do not have or sell any proprietary products. Mutual fund purchases are made by having checks made out to, and sending them to the mutual fund company, which processes the purchases. As part of our services, your account statements are reviewed on a quarterly basis for monitoring purposes, but we do not provide ongoing financial advice on the securities held in your account. We do not have discretionary authority on your accounts, meaning that all trades must be approved by you before they are made. There are no account minimums for our services, and brokerage transaction services only provide a small portion of our revenue.

Brokerage Referral Services: We provide referral services where we refer clients to a third-party broker dealer to conduct other brokerage buy and sell services. We receive referral fees from the third-party broker dealer based on a percentage of revenue generated from those referrals. Referral payments makes up the large majority of our revenue.

Questions To Ask Us: Given my financial situation, should I choose a brokerage 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 and expenses will I pay? You will pay transaction fees and costs whether you make or lose money on your investments. Transaction fees and costs will reduce any amount of money you make on your investments over time. Please make sure you understand what transaction fees and costs you are paying.

You should be aware that our receipt of fees, in and of itself, creates a conflict of interest. Sources of additional, more detailed information are listed in Item 5 below.

Transaction Fees: You pay transaction fees (also known as commissions) based on a percentage of the value of purchase and sales transactions. The transaction fee is charged to you at the time the trade is made.

Mutual Fund Fees and Expenses, and 12b-1 Fees: Mutual funds will charge you management fees and other expenses at the mutual fund level. Mutual funds also typically pay 12b-1 fees to us or our registered representative for the time period that the mutual fund is held in your account.

Questions to Ask Us: 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 a recommendation, 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.

Our receipt of any fees or benefits creates an inherent conflict of interest since we have the incentive to recommend actions which increase our revenue.

Transaction Fees: Because we earn fees on every transaction you complete, we have the incentive to recommend that you conduct more transactions.

12b-1 Fees: Because we can earn 12b-1 fees on mutual funds you own, we have the incentive to encourage you to purchase and hold mutual funds which pay 12b-1 fees. Because mutual funds pay varying levels of 12b-1 fees, we have the incentive to recommend mutual funds that pay us higher 12b-1 fees.

Affiliate Relationships: We have several affiliates conducting business including investment advisory, accounting, and insurance. Our registered representatives may be dually registered as investment advisor representatives with our affiliate registered investment advisor.

The recommendation that you use the services of, or purchase a product from, one or more of these affiliates creates a conflict of interest as we may benefit financially. We do not have any proprietary products.

Referral Relationships: Because we refer brokerage business to a third-party broker dealer and receive referrals fee, we have an incentive to make referrals to that third-party broker dealer so that we benefit financially.

Question to Ask Us: How might your conflicts of interest affect me, and how will you address them?

How do your financial professionals make money? HBKS® registered representatives are paid a salary.

Do you or your financial professionals have legal or disciplinary history? No, neither HBKS® or our financial professionals have any legal or disciplinary history.

Questions to Ask Us: As a financial professional, do you have any disciplinary history? For what type of conduct?

Where Can I Find Additional Information About HBKS® And Its Financial Advisors? You can find more detailed information regarding us at <https://brokercheck.finra.org/>, or contact our chief compliance officer at (814) 836-5776.

Questions to Ask Us: Who is my primary contact person?

Is he or she a representative of an investment adviser?

Who can I talk to if I have concerns about how this person is treating me?