



# TRIAD SECURITIES CORP.

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## FORM CLIENT RELATIONSHIP SUMMARY (CRS) – August 20, 2024

### Item 1. Introduction Triad Securities Corp.

Triad Securities Corp. ("Triad") is a broker-dealer registered with the Securities and Exchange Commission (SEC) as is a member the Financial Industry Regulation Authority (FINRA) and the Securities Investor Protection Corporation (SIPC).

Broker-dealer and investment advisory services and fees differ and it is important for you to understand these differences. Free and simple tools are available to research firms and financial professionals at [www.investor.gov/CRS](http://www.investor.gov/CRS), which also provides educational materials about broker-dealers, investment advisers, and investing.

### Item 2. Relationships and Services

#### ***What investment services and advice can you provide me?***

We offer brokerage services to professional traders, institutions and retail investors (limited to friends and family), including individual retirement accounts. Triad acts only as your agent (not principal) when buying and selling securities. Triad will not provide recommendations to any investor nor will the Firm maintain discretionary authority over your account. You are solely responsible for deciding how you want to invest and place orders. We do not offer retail investors investment monitoring services. Depending on the type of account you open, there may be a minimum equity requirement of up to \$100,000 or more.

#### **CONVERSATION STARTER: Questions you may want to ask your financial professional:**

- *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?*

### Item 3. Fees, Costs, Conflicts, and Standard of Conduct

#### ***What fees will I pay?***

For brokerage services, the main fees and costs are transaction-based fees for execution of securities trades, usually a per share rate with a flat fee minimum, depending on the volume of your account activity. Based on the type of account you open and your transactions, you may also pay fees for custodial or administrative services, or fees related to mutual funds. You may also pay miscellaneous fees that your account's custodian may charge, including wire fees, transfer fees, bank charges and other fees. Based on your account activity, the Firm may also share in compensation for certain activities, including but not limited to: securities lending and interest sharing.

**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.**



**CONVERSATION STARTER: Questions you may want to ask your financial professional:**  
*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?***

We do not provide recommendations. The way we make money creates some conflicts with your interests. You should understand and ask us about these conflicts. Because we are compensated for transactions, we have an incentive to encourage you to trade more frequently and in greater amounts.

**CONVERSATION STARTER: Questions you may want to ask your financial professional:**  
*How might your conflicts of interest affect me, and how will you address them?*

***How do your financial professionals make money?***

Our financial professionals are paid a salary and some receive additional compensation in the form of a percentage of commissions generated by certain customer accounts.

#### **Item 4. Disciplinary History**

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

Yes. Please visit <https://brokercheck.finra.org/> or [Investor.gov/CRS](https://investor.gov/CRS) for a free and simple search tool to research the Firm and our financial professionals.

**CONVERSATION STARTER: Ask your financial professional:**  
*As a financial professional, do you have any disciplinary history? For what type of conduct?*

#### **Item 5. Additional Information**

For additional information about our brokerage services, please visit [www.triadsecurities.com](http://www.triadsecurities.com). If you would like additional information or an updated copy of this disclosure, please call 212-349-9078.

**CONVERSATION STARTER: Ask your financial professional:**  
*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?*