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## Client Relationship Summary – Form CRS

As of June 1, 2020

Hedgebay Securities LLC is a licensed Broker Dealer registered with The Financial Industry Regulatory Authority (FINRA # 121136) and the Securities and Exchange Commission (SEC # 8-65385). **We provide brokerage services in an agency only capacity rather than acting as principal and do not carry accounts on behalf of clients / customers.** We also do not recommend any security nor financial instrument but do offer options for buyers/sellers.

There exist different avenues for you to pursue for assistance with your investments. You should carefully consider which are right for your individual situation.

This document gives you a summary of the types of services we provide and how you pay us. Please ask us for more information. Some suggested questions are on page 2.

### **Relationship and Services**

We DO NOT open nor carry brokerage nor investment accounts.

We act as an agency only broker matching buyer with seller in illiquid and alternative securities. If engaged you will pay us a transaction-based fee, generally referred to as a commission, every time you buy or sell an investment and will be clearly shown on the confirmation and noted prior to execution of the transaction.

We can offer you additional services to assist in your liquidity needs and our fee that you pay will also be clearly shown on the confirmation.

We do not offer advice on investments nor recommend any course of action. Other firms could do this for you, some of which may carry additional or even lower costs.

Our web site is [www.hedgebay.com](http://www.hedgebay.com) and may contain additional information.

### **Our Obligations to You**

We must abide by certain laws and regulations in our interactions with you.

We must act in your best interest at all times. When we provide any service to you we must treat you fairly and comply with a number of specific obligations. We are not required to monitor your portfolio nor individual investments on an ongoing basis.

We do not recommend any course of action, but do provide you with options for you to evaluate and execute without any assistance from us.

### **Fees and Costs**

The fee you pay (commission) is based on the specific transaction.

Your fee will be clearly communicated both orally or via email and always illustrated on your transaction confirmation prior to acceptance.

Our fees vary and are negotiable. The amount you pay can depend on various circumstances such as what you are transacting.

We may charge additional fees for transactions and they will be fully divulged and also shown clearly prior to any final execution should they occur.

Our brokers are only compensated upon a successful transaction and are only paid in the form of commission.

### **Conflicts of interests**

Because we transact solely on an Agency capacity, do not offer nor recommend securities, we will not be in conflict with your transaction. We have no past nor current legal proceedings.

We have no incentive to induce you to transact other than commission as we do not recommend securities nor are we compensated for the value of your account.

We cannot buy investments from you (Acting as principal)

### **Additional Information**

For additional information about our firm, its brokers and services, please visit [brokercheck.finra.org](http://brokercheck.finra.org) or our web site [www.hedgebay.com](http://www.hedgebay.com)

To report a problem to the SEC, visit [investor.gov](http://investor.gov) or call the investor assistance line at (800) 732-0330. To report a problem to FINRA, please call the main help line @ 301 590-6500, or for Senior assistance 844 574-3577.

If you are having a problem with your Hedgebay Broker please contact us in writing at [info@hedgebay.com](mailto:info@hedgebay.com) or 203 227 9588.

### **Key Questions to Ask**

Ask our financial professionals these key questions about our brokerage services.

1. Given my financial situation, why should I utilize Hedgebay Securities?
2. What is your typical fee on a transaction?
3. Are there any other fees?
4. Do you or your firm receive any other compensation when I transact?
5. Can you explain the conflicts of interest I may encounter?
6. Do you or your firm have any disciplinary history?
7. What is your experience including your licenses, education and those of the firm's representatives and principals.
8. Who is the primary contact person for my account? If I am having any issues who can I talk to?