

# RISE Financial Services, LLC

---

09/2026

RISE Financial Services, LLC ("RISE") is a broker-dealer registered with the Securities and Exchange Commission (SEC). RISE is also a member of the Financial Industry Regulatory Authority (FINRA) and the Securities Investor Protection Corporation (SIPC). RISE is a subsidiary of Siebert Financial Corp.

- **Brokerage 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 [Investor.gov/CRS](https://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?

We offer brokerage services only. We do not offer investment advisory services.

Our **brokerage services** are offered to retail investors through a self-directed online account. You can buy and sell stocks, exchange traded funds (ETFs), options, and mutual funds at your direction, including fractional shares of certain stocks. ***We do not make investment recommendations, we do not monitor your account, and you make the ultimate decision regarding the purchase or sale of investments.***

Your account is carried by our clearing firm, Green Pier Fintech LLC ("Green Pier"), which holds your cash and securities and executes and settles your trades.

**For Additional information** regarding our brokerage services please visit our website at [www.risefinancial.io](https://www.risefinancial.io) and refer to our [Customer Agreement](#).

**Conversation Starters.** 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? (Note: As a self-directed broker-dealer, RISE does not make investment recommendations.)***
- ***What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?***

## What fees will I pay?

---

RISE may charge a monthly service fee for your account, which is automatically debited from your linked bank account (or from your RISE account if the bank debit fails). RISE charges fees when you buy and sell stocks, exchange-traded funds (ETFs), options and mutual funds and may update its commission fees periodically without prior notice.

You may also pay other account fees such as wire, transfer, paper statement, and account closing fees, as well as regulatory transaction fees on sales of securities. If you invest in ETFs or mutual funds, you will also indirectly pay the fees and expenses included in the fund's expense ratio. Because we receive more revenue when you trade more, we have an incentive to encourage you to trade more frequently and in greater amounts.

For additional information about fees and costs, please visit [www.risefinancial.io](https://www.risefinancial.io) or call 800-923-3863.

***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 Starters.** 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 as my broker-dealer? How else does your firm make money and what conflicts of interest do you have?*

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 services we provide you. Here are some examples to help you understand what this means:

## **Examples of Ways We Make Money and Conflicts of Interest.**

---

- **Payment for Order Flow:** Green Pier routes your stock and ETF orders to market centers that pay Green Pier for that order flow, and Green Pier shares this revenue with us. As such, we earn more when you trade more, and these payments may conflict with getting you the best possible price.
- **Uninvested Cash:** Green Pier earns interest ("float") on uninvested cash and on sale proceeds before they settle or are invested in your core account position. We share a portion of this interest revenue with Green Pier.
- **Principal Trading:** Green Pier executes the fractional share portion of your orders as principal for its own account and may make a profit or incur a loss on those trades.
- **Affiliates:** We may refer to services of our affiliates, including Muriel Siebert & Co., LLC, and our parent company benefits when you use them.

**Conversation Starter.** 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?*

The firm's customer service representatives and registered personnel are paid a salary and may be eligible for a discretionary bonus based on overall firm performance. They are not paid based on the trades you make or the products you buy.

- *Do you or your financial professionals have a legal or disciplinary history? For what type of conduct?*

You may obtain detailed information by visiting [Investor.gov/CRS](https://investor.gov/CRS) or [www.brokercheck.finra.org](https://www.brokercheck.finra.org) for a free and simple search tool to research us and our financial professionals.

**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?*

Our accounts are self-directed, so no financial services representative will be assigned to you. Our support services include customer service representatives should you have questions regarding your account. You will always have access to Principals of the firm should you have concerns about any matter. Please contact us at 800-923-3863 or [info@risefinancial.io](mailto:info@risefinancial.io) for any needs you may have concerned RISE or your account.

### **Additional Information**

For additional information about our brokerage services, please visit [RISE's website](https://risefinancial.io). To request an up-to-date copy of this relationship summary, please call 800-923-3863 or [info@risefinancial.io](mailto:info@risefinancial.io).