

Client Relationship Summary (Form CRS)

August 30, 2023

T3 Trading Group, LLC (T3 or the Firm) is a broker/dealer registered with the Securities and Exchange Commission (SEC) and the Financial Industry Regulatory Authority (FINRA) and the Securities Investor Protection Corporation (SIPC). Free and simple tools are available to research firms and financial professionals at [Investor.gov/CRS](https://investor.gov/CRS), which also provides educational materials about broker-dealers, investment advisers, and investing.

What investment services can you provide me?



Given my financial situation, should I choose a brokerage service? Why or why not?
What is your relevant experience, including your licenses, education, and other qualifications?
What do these qualifications mean?

Our brokerage services include self-directed buying and selling of securities and providing you with tools to place orders. This includes electronic access to various Order Management Systems, order routing to execute your orders, and access to market data. The Firm sets limits on buying power, maximum shares per order and maximum position size within its order management system. Our retail traders are generally active traders and accounts are required to have a minimum balance of \$25,000 in order to day trade.

We offer the ability to trade equities and options. T3 does not solicit orders or offer recommendations or advice. You are responsible for all decisions regarding your investments. Retail accounts are monitored by the Firm to manage our risk, not to monitor the risk to clients. For additional information regarding our services, please visit our website at T3Trading.com. If you are unsure whether you should open an account at T3, please consult a financial professional.

T3 is regulated by various regulators and self-regulatory organizations. Although T3 employees hold certain licenses and qualifications, the Firm does not permit its employees to make recommendations, offer advice, or manage your account. All trading at T3 is directed by you.

What fees will I pay?



Help me understand how these fees and costs are charged and how they might affect my investments.

The fees you will pay depend on the type of account you have, the market data that you request, and the amount of trading you do. You will also pay certain administrative, regulatory, and other fees such as SEC fees on sale transactions, stock loan fees and fees to the exchanges you wish to receive data from. For detailed information regarding the Firm's commissions and fees visit the T3 website at <https://t3trading.com/fees>.

You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce the amount you make on your investments over time. Please be sure you understand what fees and costs you are paying.

Examples of Ways We Make Money and Conflicts of Interest



How might any conflict of interest affect me, and how will you address them? How do your financial professionals make money?

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 that we provide you.

Here are some examples to help you understand what this means:

T3 may receive remuneration for directing orders to certain market centers including national securities exchanges, alternative trading systems, electronic communications networks, broker dealers and other liquidity sources that may offer credits for certain types of orders while assessing fees for other types of orders. In some cases, the credits offered by a market center may exceed the credits being offered back to you and the charges assessed may be less than the charges being billed back to you. Such remuneration is considered compensation to T3 and is deemed to be payment for order flow. T3 may also use broker dealers or other market centers to route orders on its behalf. These arrangements give T3 a financial incentive to route orders to venues that provide payments. Because we may receive payment for order flow in certain situations, we have an incentive to encourage you to trade more frequently and in greater amounts.

T3 handles all orders on a “not held” basis, including Direct Market Access (DMA) orders, which allows us to use price and time discretion with the objective of achieving the best overall execution possible and according to the protocols of the selected routing or execution strategy. This includes Immediate or Cancel (IOC) orders. In the course of handling an order, T3 may route to venues that may handle an order on a riskless principal, principal, and/or net trading basis or additionally use brokers that may route your order in a riskless principal, principal and/or net trading basis. Routed orders will be marked in T3’s, or the routing brokers, capacity and not in the capacity in which the contra-broker or market center destination acted.

We also make money if you borrow money using securities as collateral for a margin loan. We make a spread between the rate that we pay and the rate that you pay us for borrowing money in your account.

The financial professional that is assigned to your account is compensated based on the amount of commissions on transactions that you conduct in your account.

Do you and your financial professionals have legal and/or disciplinary history?



As a financial professional, do you have any disciplinary history? For what type of conduct?

Yes. Please visit [FINRA's Broker Check](#) for a free and simple search tool to research T3 and our financial professionals.

Additional Information



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?

All accounts have a designated representative assigned to you to handle customer service inquiries. Please keep in mind that your representative will not offer investment advice. If you are not pleased with your assigned representative, please contact us at compliance@t3trading.com and we will resolve the situation or assign another representative to your account. Please see our Regulation Best Interest disclosures and other disclosure documents on our website or call us at 646-346-1700 for more information and the latest version of this form.