



CGIS Securities, LLC
Form ADV Part 3 – CRS (Customer Relationship Summary)
May 26, 2020

Item 1: Introduction

CGIS Securities, LLC (“we” or “the Broker-Dealer”) is registered with the Securities and Exchange Commission (“SEC”) as a broker-dealer and is a member of the Financial Industry Regulatory Authority (FINRA) and the Securities Investor Protection Corporation (SIPC). Broker 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, which also provides education materials about broker-dealers, investment advisors, and investing.

Item 2: Relationships and Services

What investment services and advice can you provide me? Our brokerage services include buying and selling securities, including but not limited to equities, mutual funds, fixed income securities, structured notes/bonds, alternative investments, and private placements. Services are offered through cash, margin and DVP/RVP accounts. We accept limited trading authority.

Securities recommendations and investment activity is monitored on a regular basis as part of our standard services and supervision/compliance program.

CGIS Securities generally requires a minimum account value of \$100,000 although lesser value accounts are permitted on a case-by-case basis.

You as a client make the ultimate decision regarding the purchase and sale of brokerage account investments.

For additional information, please see copy of the Firm’s Regulation Best Interest Disclosures, and other applicable documents.

Conversation Starters (Ask your financial professional):

- **Given my financial situation, should I choose an investment advisory service?**
- **Given my financial situation, Should I choose a brokerage service? Should I choose both types of services? 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?

CGIS Securities assesses commission charges, mark ups, and mark downs on each transaction and depending on the complexity, product type, and amount invested in such security, not in the value of your account.

CGIS Securities also assesses yearly minimum account maintenance fees, wire fees amongst other administrative fees. Please refer to our Schedule of Fees. In addition, our custodian will charge custodian fees, settlement fees, document delivery fees, product level fees, confirmation and statement production, paper surcharge, and other fees. Not all fees will apply to you as a client and other firms could offer brokerage services at lower costs.

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.

We must act in your best interest and not place our interests ahead of yours, but you will be charged more when there are more trades in your account, therefore the firm and your account executive has an incentive to encourage you to trade on a frequent basis. This is a conflict of interest which we mitigate via additional disclosures as well as the Firm’s supervision and compliance program which monitors customer account activity and fees/commissions on a periodic basis.

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?**



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What are your legal obligations to me when acting as my investment adviser? 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 affect the recommendations we provide you. Here are some examples to help you understand what this means:

- Third-party payments may be based on sales of investment products thus incentivizing us to recommend you buy and sell investments.
- Revenue sharing, such as when we or our affiliate receives selling group compensation.
- Trail Compensation is ongoing compensation from product sponsors typically paid from the assets of an investment product based on an annual percentage of invested assets and varies by product. We therefore have an incentive to recommend products that pay higher “trails.”

For additional information, please see CGIS Securities’ Regulation Best Interest Disclosure and your product prospectus.

Conversation Starters (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? CGIS Securities’ financial professionals receive cash compensation in the manner of commissions from transactional business and advisory fees based on the assets they manage. They are also compensated via Mutual Funds trailers. The Firm also can receive non-cash compensation from mutual fund companies in the form of training and seminars, this non-cash compensation can create conflicts of interest which we address by maintaining policies and procedures, a Code of Ethics and supervision of our financial advisors and Financial Professionals. Our Representatives could also get an increased payout based on higher production. This represents a conflict of interest since the more commissions they generate the more they earn. Our representatives do not receive varying compensation based on the type of products they sell although certain products pay ongoing compensation (trailers); therefore, Financial professionals are therefore incentivized to recommend products that have higher fees and/or ongoing payments.

For additional information, please see CGIS Securities’ Regulation Best Interest Disclosure

Item 4: Disciplinary History

Do you or your financial professionals have legal or disciplinary history? Registered Broker-Dealers along with their Financial Professionals are required to disclose all material facts regarding certain legal and disciplinary events. In this regard, CGIS Securities have not been subject to disciplinary events by the US Securities and Exchange Commission or the Financial Industry Regulatory Authority. Please visit Investor.gov/CRS for a free and simple search tool to research us or our financial professionals.

Further Information about these matters are available via <http://brokercheck.finra.org>, upon accessing the website, please enter the name of the firm or individual’s full name and go the disciplinary section of the report for further information. Visit Investor.gov/CRS for a free and simple search tool to research us and our financial professionals.

Item 5: Additional Information

Where is additional information available? To report a problem to the SEC, visit Investor.gov or call the SEC’s toll-free investor assistance line at (800) 732-0330. If you have a problem with your investments, investment account or a financial professional, contact us in writing at 990 Biscayne Blvd., Suite O-901, Miami, FL 33132.

Who is the primary contact person at your firm? A registered representative will be assigned your account. Who can you talk to if you have concerns about how this person is treating you? You may reach our Chief Compliance Officer, Riggín Dapena, at (305) 507-4544, and your concerns will be addressed immediately.