

Form CRS Customer Relationship Summary

Introduction

Blue Diamond Securities of America, LLC (the “firm”) is a Securities Exchange Commission registered Broker-Dealer, member FINRA, SPIC.

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 <http://Investor.gov/CRS>, which also provides educational materials about broker- dealers, investment adviser, and investing.

Terms to know:

- A **broker-dealer** is a firm that acts as an intermediary between buyers and sellers of securities for which they will usually receive a commission and may purchase or sell those securities in/out of their own account.
- An **investment adviser** is generally any person or group that provides investment advice or conducts securities analysis in exchange for a fee.

What investment services and advice can you provide me?

We offer an array of investment related services, which including buying and selling securities for clients on a self-directed basis at a discount commission rate. We offer full-service brokerage services to retail investors, in this capacity, we act as your fiduciary, which requires us to act in your best interest and to put your needs above all others. We offer investment banking services, in the capacity of an underwriter, co-underwriter or as a member of a selling group. We receive fees from the issuer which can be as high as 7%. If you invest in the securities issued through our investment banking services, you will pay execution related commissions in addition the fees we receive from the issuer. The firm does not impose account minimums, although our financial professionals may choose to do so.

Conversation Starters – Ask your financial professional:

- Given my financial situation, should I choose an advisory relationship? 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?
- How do my investment objectives affect how you will manage my account?

What fees will I pay?

Our fees are generally transaction-based and are typically called commissions, sales charges and or loads. Such fees cause an inherent conflict of interest; higher trading activity will earn the firm and its representative more fees, therefore the firm and its representatives may have an incentive to encourage you to trade more often. These fees vary depending on the investment product you select, the size of your transaction, the fees can be charged up-front or on an ongoing basis. Some investments incur ongoing operational expenses which are directly or indirectly passed on to you. Additionally, our clearing firm may assess fees associated with your brokerage account such as account termination and/or account transfer fees, liquidation fees, and fees associated with margin participation. The fees and costs you pay for specific securities transactions are disclosed to you on the confirmation statement you receive after your transaction is executed, or in the prospectus/sales contract which will be provided for certain securities transactions. The total cost you incur in connection with your brokerage accounts will primarily depend on your investment mix and how frequently you trade. 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 will pay.

Conversation Starter – 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?

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

- Your financial professional receives a percentage of the fee revenue he or she generates for the firm. Fee revenue includes commissions. The percentage of revenue paid to our financial professionals may increase if he or she generate over certain revenue thresholds therefore, your financial professional has an incentive to encourage you to buy and sell securities more frequently.
- Your financial professional also has an incentive to encourage you to move your account from other institutions to ours in order to increase his or her own compensation.
- Our Broker/Dealer receives order flow payments through our clearing arrangements.

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 financial professionals are compensated based on the commission they charge to buy and sell securities in your account; therefore, the financial professional is incentivized by recommending you to trade more often and charge more commissions.

Do your financial professionals have legal or disciplinary history?

No. Visit www.Investor.gov/CRS for a free and simple search tool to research us 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?

Where can I find additional information?

For additional information about our services please call 917-299-6562.

Conversation Starter – Ask your financial professional:

- Who is my primary contact person? Who can I talk to if I have concerns about how this person is treating me?