

Customer Relationship Summary

<p>Introduction</p>	<p>Wharton MidMarket Securities Inc. 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). 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, which also provides educational materials about broker-dealers, investment advisers, and investing.</p>
<p>What investment services and advice can you provide me?</p>	<p>We offer brokerage services to retail investors, including buying and selling securities. While we offer research and recommendations with respect to investment products, you make the ultimate decision regarding the purchase or sale of investments. We offer our services to retail investors and do not require a minimum account size. We will work with you to create an investment plan based on your financial objectives and will regularly monitor your portfolio. We will contact you on a scheduled basis (quarterly, semi-annually, annually) to discuss your portfolio. We will manage your portfolio on a non-discretionary basis, meaning we will give you advice and you decide what investments to make for your account. We do not hold custody of client assets and may accept limited (time/price) discretionary authority.</p> <p>Wharton also offers investment banking such as but not limited to mergers & acquisitions, equity and debt financing, etc.</p> <p>For more information, contact Paul Harrigan at (203)606-9696.</p> <p>Questions to ask your broker:</p> <ul style="list-style-type: none"> - Given my financial situation, should I choose an investment advisory firm? 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?
<p>What fees will I pay?</p>	<p>We charge from 0% to 5% for brokerage services. Other products, such as mutual funds, UITs, and variable annuities may have a different fee schedule and are disclosed in the prospectus. 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. There is a fee charged for each transaction. As such, the more you make, the more your fees will add up. Further, a potential conflict exists in that we have an incentive for you to engage in transactions. Please make sure that you understand what fees and costs you are paying.</p> <p>Questions to ask your broker:</p> <ul style="list-style-type: none"> -Help me understand how these fees and costs might affect my investments.

	<p>- If I give you \$10,000 to invest, how much will go to fees and costs, and how much will be invested for me?</p>
<p>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</p>	<p><i>When we provide you with a recommendation</i>, 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 can affect the investment advice we provide you.</p> <p>Questions to ask your broker: -How might your conflicts of interest affect me, and how will you address them?</p>
<p>How do your financial professionals make money?</p>	<p>Investment professionals are compensated with a base salary by receiving an agreed upon percentage of the fees they generate in that particular period. The firm may compensate investment professionals with a discretionary bonus based on certain criteria such as employee performance, merit, customer service etc. Professionals may receive compensation for earning new client business or expanding current relationships in the form of discretionary bonuses.</p>
<p>Do you or your financial professionals have legal or disciplinary history?</p>	<p>Neither the firm nor any of its brokers have any legal or disciplinary events. The firm and its brokers are required to disclose any such legal or disciplinary events promptly and you can review any such information on the FINRA Brokercheck website at https://brokercheck.finra.org</p> <p>Questions to ask your Advisor: As a financial professional, do you have any disciplinary history? For what type of conduct?</p>
<p>Additional Information</p>	<p>For additional information, updated information, or a copy of this disclosure, contact Paul Harrigan at (203)606-9696.</p> <p>Questions to Ask your broker:</p> <ul style="list-style-type: none"> - 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 and my investments?