



Client Relationship Summary

October 5, 2020

Traderfield Securities Inc. ("Traderfield Securities") is registered with the Securities and Exchange Commission ("SEC") as a broker-dealer. Brokerage and investment advisory services and fees differ, and it is important for you to understand the differences. This Client Relationship Summary provides details about our brokerage services, fees, and other important information.

Free and simple tools are available for investors to research firms and financial professionals at [Investor.gov/CRS](https://www.investor.gov/CRS). Here, you can also find educational materials about broker-dealers, investment advisers, and investing.

What investment services and advice can you provide me?

Traderfield Securities offers brokerage services to retail investors. Services include buys and sells of securities such as stocks, options, ETFs, Variable Annuities and mutual funds. Additionally, Traderfield Securities may from time to time make recommendations to retail investors such as yourself. These recommendations may be in relation to account types, investment strategies, or securities transactions. Recommendations will be made in the best interest of you, the retail investor. Retail investor accounts are treated as non-discretionary. This means that any transactions (whether based on a recommendation or not) require the explicit approval of you, the retail investor

Conversation Starters. Ask your financial professional these questions to learn more:

- **Given my financial situation, should I choose a brokerage service? 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?**

- Traderfield Securities monitors retail investor accounts on a monthly basis, recommending changes based on market conditions, changes in the retail investor's situation (such as income, retirement etc.), or other situations.
- Traderfield Securities requires no minimum balance.

For additional information, Please visit www.mytraderfield.com.

What fees will I pay?

Commissions are charged per transaction

Additionally, the below most common fees may be assessed;

Conversation Starter –

- **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?**

- Other transactions, (such as money transfers, account transfers, stock reorganizations, etc.),
- Account maintenance fees, or
- Margin interest fees

Important: 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.

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 can affect the recommendations we provide you.

Conversation Starter –

- How might your conflicts of interest affect me, and how will you address them?

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

- We may receive commissions from particular fund companies or other third parties for transactions in their securities, creating an incentive for our firm to recommend these securities to you.
- We may receive other non-cash compensation from third parties for certain transactions, creating an incentive for our firm to recommend these transactions to you.
- Some revenue the firm earns from third parties such as fund companies may be shared with the registered representative.

How do your financial professionals make money?

Traderfield Securities registered representatives are paid by our firm through commissions. Commissioned pay is based on certain transactions. This pay structure creates incentives for a registered representative to make certain recommendations to you.

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

Yes, we have disciplinary events.

You can visit [Investor.gov/CRS](https://investor.gov/CRS) for a free and simple search tool to research our firm and financial professionals.

Conversation Starter –

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

Additional Information

You may also call 212-966-9550 to request up to date information or a copy of this relationship summary.

For additional information, Please visit www.mytraderfield.com.

Conversation Starter –

- Who is my primary contact person? Is he or she a representative of an investment adviser or broker-dealer? Who can I talk to if I have concerns about how this person is treating me?