

ACCESS SECURITIES, LLC FORM CRS CLIENT RELATIONSHIP SUMMARY

1. INTRODUCTION

Access Securities, LLC is a registered with the Securities and Exchange Commission as a broker-dealer and member of FINRA and SIPC. Brokerage and investment advisory services and fees differ; it is important for you to understand the differences. Free and simple tools are available to research firms and financial professionals at: www.investor.gov/CRS which also provides educational materials about broker-dealers, investment advisers and investing.

2. WHAT INVESTMENT SERVICES AND ADVICE CAN YOU PROVIDE ME?

Services: Generally, our firm offers traditional brokerage account services to institutional clients. We have a few retail investors who utilize our execution and clearing services but we do not make securities recommendations to them. Retail investors make their own investment decisions in public markets. Our firm's financial professionals may recommend private placements exempt from U.S. securities registration under Regulation D to accredited retail investors. Private placements are only suitable for people who are familiar with and willing to accept the illiquidity and high risk of loss associated with private placement investments. Securities purchased in private placements are not publicly traded and are intended for investors who do not have a need for a liquid investment. There can be no assurance that the securities price/valuation is accurate or that it is in agreement with the market or industry valuations. In addition, you will likely receive restricted securities that may require a holding period before resale is permitted. Companies seeking private placement investments tend to be in earlier stages of development and have not yet been fully tested in the public marketplace. A private placement investment requires high-risk tolerance, low need for liquidity, and long-term capital commitments.

Monitoring: We do not offer retail investors investment monitoring services.

Investment Authority: We do not accept or offer discretionary authority services.

Limited Investment Offerings: Our firm's financial professionals do not offer investment advice and only offer types of investments to retail investors for which the firm is approved to offer. Some of our firm's investment professionals solicit and recommend to select accredited retail investors that they purchase private placements as part of their securities holdings. We do not offer proprietary products.

Account Minimums: There is no minimum account size or investment amount for a retail investor to open a traditional brokerage account.

Questions to ask:

- *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?*

3. WHAT FEES WILL I PAY?

Principal Fees and Costs: The retail investor pays a commission on each trade based on a verbal agreement with their financial professional. There is a conflict of interest as the amount charged to each retail investor differs and some retail investors may pay more than others. The more a retail investor trades in his or her account the more the account will be charged. The fee you pay is based on the specific transaction and not on the value of your account.

However, since the financial professionals do not make recommendations retail investors are not encouraged to trade more often. Our financial professionals may recommend private placements, which are discussed in greater detail in No. 2 above. 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.

Other Fees and Costs: Any other fees or costs are passed through to the retail investor such as wire fees, custodian fees, account maintenance fees, other transactional fees and product-level fees.

Additional Information: *"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."* With stocks or exchange-traded funds, the fee is usually a separate charge. With other

investments, such as bonds, this fee may be part of the price you pay for the investment (called a mark-up or mark-down). When an accredited retail investor purchases a private placement, our firm is paid a fee for introducing the investor by the issuer of the private placement but the investor does not pay our firm for this service. Our firm does not offer mutual funds or variable annuities.

Questions to ask:

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?

Standard of Conduct: Our firm does not make recommendations to retail investors but material conflicts may still exist such fees and commission schedules are not uniform and vary among our retail investors. Our firm's financial professionals may recommend private placements to retail investors.

"We do not provide recommendations. 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 we provide you. Here are some examples to help you understand what this means. "How might your conflicts of interest affect me, and how will you address them?"

Questions to ask:

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

Additional Information: Conflicts of interest exist as retail investors pay different fees and our financial professionals receive variable commissions both by verbal agreements.

How do your financial professionals make money?

Our financial professionals are not compensated based on non-cash compensation or bonuses rather they received a commission on a per trade basis. Commission charges are not standard among our financial professionals. Our financial professionals are paid on product sales commission basis only. When our financial professionals recommend a private placement to a retail investor, our firm is paid by the issuer for introducing our client and recommending that they make a direct investment with the issuer.

4. DO YOU OR YOUR FINANCIAL PROFESSIONALS HAVE LEGAL OR DISCIPLINARY HISTORY?

No. Free and simple search tools are available to retail investors who visit www.Investor.gov/CRS to research our firm and financial professionals.

Questions to ask:

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

5. ADDITIONAL INFORMATION

For additional information on our brokerage services, please find our website at www.accesssecurities.com or visit our FINRA BrokerCheck which can be found on the following link: <https://brokercheck.finra.org/firm/summary/22455> If you would like to request a complimentary copy of our client relationship summary, Form CRS, please contact us in writing at 140 Elm Street Suite 7, New Canaan CT 06840 or call us at 203-322-3377 and we will promptly provide it to you free of charge.

Questions to ask:

Who is the primary contact person for my account? Is he or she a registered representative of a broker-dealer? If I have concerns about how this person is treating me, who can I talk to?