

SPRINKLEBROKERAGE, INC.
CLIENT RELATIONSHIP SUMMARY
Updated May 15, 2023

SprinkleBrokerage, Inc. (SprinkleBrokerage or Firm) 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). SprinkleBrokerage offers brokerage services and online securities trading to retail clients via the digital SprinkleBrokerage platform.

There are free and simple tools available to investors to research firms and financial professionals at www.investor.gov/CRS, which also provides educational materials about broker-dealers, investment advisers, and investing.

WHAT INVESTMENT SERVICES AND ADVICE CAN YOU PROVIDE ME?

Broker-Dealer Services

We offer brokerage services to investors, including buying and selling securities. If you open a brokerage account, you will be able to buy and sell securities in your account. There are no account minimums in order to open or maintain your account with us. In order to execute a transaction, you will pay us a transaction-based fee, generally referred to as a commission. At this time we do not offer investment advice and the investments are solely made by you.

We will deliver account statements to you on at least a quarterly basis either electronically or in paper, and we do not offer ongoing monitoring services for the investments in your brokerage account. For more detail on our brokerage services please refer to our website at www.sprinklebrokerage.com.

Additional Information

Your specific needs and investment objectives will ultimately determine if you utilize our brokerage services. While these services cover a wide variety of investment options and strategies, other firms could offer the same or different choices that might have lower costs.

QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL

- *Given my financial situation, should I choose an investment advisory service? 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?*

WHAT FEES WILL I PAY?

Brokerage Services Fees – You will pay us a fee every time you buy or sell an investment. This fee, commonly referred to as a commission, is based on each trade in your account and not its value. The transactions in your account generate commissions earned by SprinkleBrokerage. With stock or exchange-traded funds, this fee is usually a separate commission. With other investments, such as bonds, this fee might be part of the price you pay for the investment (called a “mark-up” or “mark down”). With some mutual funds, this fee (typically called a “front end load”) may reduce the value of your investment.

Other Fees and Costs – Some investments (such as mutual funds) impose additional fees that will reduce the value of your investment over time.

Additional fees may be charged by our clearing firm Velox Clearing for account maintenance fees, and account inactivity fees. 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.

QUESTIONS TO 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 AS MY BROKER-DEALER OR WHEN ACTING AS MY INVESTMENT ADVISER? HOW ELSE DOES YOUR FIRM MAKE MONEY AND WHAT CONFLICTS OF INTEREST DO YOU HAVE?

At this time we offer only strict self-directed trading. We do not offer recommendations as a broker-dealer and do not act as an investment adviser. The firm does not have any conflicts of interest.

QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL

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

The way the firm makes money will depend on the services and investments that you choose.

In addition, our firm may receive different levels of compensation for selling brokerage services. The firm does not recommend investment products or manage your account.

HOW DO YOUR FINANCIAL PROFESSIONALS OR THE FIRM MAKE MONEY?

The firm makes money on trading commissions and premium subscriptions. The firm earns income in the form of a fixed fees.

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

Yes. Visit www.investor.gov/CRS for a free and simple search tool to research our firm and our financial professionals

To use the search tool, you must scroll down to the Check Out Your Investment Professional box on the main page and type in the name of the Investment Professional you wish to research, or change the category to "Firm" and type in SprinkleBrokerage.

QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL

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

For Additional information about our services please refer to <https://sprinklebrokerage.com/>. If you would like additional, up-to-date information or a copy of this disclosure please call 1-800-331-8750.

QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL

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

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