



Arq Securities
31 Ocean Terrace
Long Branch, NJ 07740
(908) 608-8843
arqsecurities.com

Arq Securities (January 5, 2024)

Item 1.

Item 1 A.

Arq Securities ("ARQ") 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 these differences. ARQ is a member of FINRA and SIPC.

Item 1 B.

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.

Item 2 Relationships and Services

Item 2 A. *What investment services and advice can you provide me?*

We offer retail investors brokerage services that are limited to the offering of privately placed debt and equity securities, including alternative investments (hedge funds and private equity funds).

Item 2 B. Description of Services

Arq Advisors LLC, dba Arq Securities, is a member of FINRA and SIPC.



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The services that we provide are based upon the requests of a client to offer the securities to retail investors that are referred by such client. We also offer securities to employees of ARQ. The products offered are all products for which ARQ is the placement agent. The products are structured and/or issued by clients of ARQ. Fees for the structuring and offering of the securities are paid by the client or securities issuer (as applicable) to ARQ. Our brokerage services cover a limited selection of investments. Other firms could provide a wider range of choices.

ARQ does not monitor the investment of the retail investor. ARQ does not open an account for retail investors and does not maintain any ongoing relationship with the retail investor.

For Additional Information, please see please go to <https://brokercheck.finra.org/>

or www.arqsecurities.com

Conversation Starters: Ask your investment professional

- 1. Given my financial situation should I choose a brokerage service? Why or Why not?*
- 2. How will you choose investments to recommend to me?*
- 3. What is your relevant experience, including licenses, education and other qualifications? What do these qualifications mean?*

Item 3 Fees, Costs, Conflicts and Standard of Conduct

Item 3.A. What fees will I pay?



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The client manager or issuer of a Private Placement security will pay a sales commission or other fee directly to ARQ. This commission or fee is not paid directly by you but is, in many cases, part of the offering price and paid by the issuer from the proceeds of the offering or from the management fee for private funds and still causes a conflict between your interests and ours. Commissions, fees and costs which you may pay are discussed within the Offering Memorandum and/or other offering materials for each investment, which you should read carefully.

You will pay fees and costs, as outlined in the Offering Memorandum and or other offering materials, 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.

For Additional Information please see the Offering Memorandum and/or any other offering materials for your investment.

Conversation Starters: Ask your investment professional

- 1. 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?*
- 2. 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?*

Item 3.B. Conflict of Interests

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 investment advice we provide you. Here are some examples to help you understand what this means



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1. Because ARQ receives its fee from the issuer of the securities there may exist a potential conflict of interest between the retail investor and ARQ.

Conversation Starters: *Ask your investment professional*

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

For Additional Information please see the Offering Memorandum and/or any other offering materials for your investment.

Item 3.C. *How do your financial professionals make money?*

Our company, and the financial professionals registered with it, receive fees for the execution of sales in privately offered securities. The compensation structure for every offering may be different. For information regarding a specific offering, please refer to the Offering Memorandum and/or any other offering materials.

Item 4. Disciplinary History

Item 4. A. *Do you or your financial professionals have legal or disciplinary history?*

Yes. Visit Investor.gov/CRS for a free and simple search tool to research ARQ and your financial professionals.

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Conversation Starter: Ask your financial professional:

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

Item 5. Additional Information

Item 5.A.

For additional information about our services, please see. www.arqsecurities.com : If you would like additional, up-to-date information or a copy of this disclosure, please call (908) 608-8831.

Conversation Starter: Ask your financial professional:

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?