

Omni Financial Securities, Inc.

Form CRS Customer Relationship Summary dated November 30, 2021

Omni Financial 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. Please refer to the Form CRS of our affiliate registered investment advisor, SWS Advisors, Inc., for information regarding investment advisory services.

This document gives you a summary of the types of services we provide and how you pay for these services. Please ask us for more information. There are some suggested questions in each section.

What investment services and advice can you provide me?

- We offer brokerage services to retail investors, including buying and selling mutual funds and variable annuities.
- We do not provide ongoing monitoring of your account; however, our financial professionals may voluntarily review your account on a periodic basis for purposes of providing buy, sell or hold recommendations.
- You may select investments or we may recommend investments for your account, but the ultimate investment decision for your investment strategy and the purchase or sale of investments will be yours.
- We offer a limited selection of investments. Other firms could offer a wider range of choices, some of which might have lower costs.
- Account minimums vary depending on the type of account you want to open. They range from \$250-\$1,000 for a one-time deposit or have no minimum if you establish an automatic investment program.

Questions to Ask:

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

What fees will I pay?

- If you open a brokerage account, you will pay us a transaction-based fee, generally referred to as a commission, every time you buy an investment.
- 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.
- The fee you pay is based on the specific transaction and not the value of your account. With mutual funds, this fee, typically called a load, reduces the value of your investment.
- With certain investments such as variable annuities, you may have to pay fees called “surrender charges” to sell the investment.
- You will also typically pay other fees depending on your account type; these fees include account maintenance fees, transactional fees, withdrawal fees and/or other ancillary fees. Please refer to the prospectus for other details.

Questions to Ask:

- 1. How else does your firm make money?**
- 2. 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?
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 interest. You should understand and ask us about these conflicts because they can affect the recommendations we provide you.

Questions to Ask:

- 1. How might your conflicts of interest affect me, and how will you address them?**
- 2. Here are some examples to help you understand what this means.**

For example, many of our registered reps are licensed to sell insurance products. Our reps will earn commissions for the sale of insurance products to you. This presents a conflict of interest in that our reps have an incentive to recommend purchasing insurance products based on compensation received rather than based solely on your needs. For a full discussion of our conflicts of interest and how they are addressed, please call our office at 614-438-5300.

How do your financial professionals make money?

- Our financial professionals are paid a commission based on the investment your purchase, the amount you invest and the time and complexity required to meet your needs.
- Each mutual fund and/or variable annuity has a different commission. Please make sure to read the company specific information or ask your financial professional for the mutual fund or annuity company commission schedule before making a purchase.
- Some products pay a higher commission than others; therefore, your financial professional has a conflict of interest to recommend a product that pays higher compensation.

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

- We have disciplinary events. Visit investor.gov/CRS for a free and simple search tool to research our firm and our financial professionals.
- For additional information about our financial professionals and services, visit BrokerCheck (brokercheck.finra.org). You can gather additional information about our firm and our reps or request the most recent version of the relationship summary by calling 614-438-5300.
- To report a problem to the SEC, visit investor.gov or call the SEC's toll-free investor assistance line at (800) 732-0330. To report a problem to FINRA, call (800) 289-9999.
- If you have a problem with your investments, account or financial professional, contact us in writing at 1900 Polaris Parkway, Suite 450, Columbus, OH 43240.

Questions to Ask:

- 1. As a financial professional, do you have any disciplinary history? For what type of conduct?**
- 2. Who is the primary contact person for my account? What can you tell me about this or his/her legal obligations to me? If I have concerns about how this person is treating me, who can I talk to?**