



Redmont Capital Markets LLC

Form CRS Relationship Summary – September 1, 2024

Overview

Form CRS provides information to help you make an informed decision about whether or not to transact with us, and how. This document contains important information about our firm and will prepare you for conversations with our investment professionals.

About our firm

Redmont Capital Markets LLC (RCM) is registered with the U.S. Securities and Exchange Commission (SEC) as a broker-dealer.

Access to educational tools

Free and simple tools are available for you to research firms and financial professionals at [Investor.gov/CRS](https://www.investor.gov/crs), a website that is maintained by the SEC. These tools provide educational materials about broker-dealers, investment advisors, and investing.

What investment services can you provide me?

RCM serves as Placement Agent on Private Placement Offerings and as an advisor on Mergers & Acquisitions. RCM offers limited brokerage. We do not offer margin accounts, investment advisory accounts, discretionary managed accounts, or account monitoring services. You will always make the ultimate decision to buy, sell or hold an investment and may accept or reject any investment recommendation.

Equity Capital Markets and Private Placements:

We provide advice in connection with Mergers and Acquisitions and serve as Placement Agent on Private Placement Offerings of Debt and Equity securities.

Questions to guide your conversations with us:

- 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?

What fees will I pay?

- In a brokerage account, the fees that you pay and/or compensation that RCM will earn is based on the specific transaction and not the value of your account. The amount of the transaction charge for a particular depends on the nature of the transaction, type of securities or product you buy or sell, how much you buy or sell, and other market factors.

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Equity Capital Markets and Private Placements:

For securities underwriting, we typically receive a gross spread in any equity or debt offering. For private placements, we typically receive compensation based on a percentage of the proceeds paid to the issuer from the sale of securities. **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 guide your conversations with us:

- 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? 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.*

Questions to guide your conversation with us:

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

How do your financial professionals make money?

The compensation your investment professional receives depends on several factors:

- The type of product purchased or sold, the principal amount of the fixed income security or number of shares of stock purchased or sold, commissions, and a percentage of the revenue the firm earns from services and recommendations.
- In a brokerage relationship, investment professionals are generally compensated for each transaction in your account. Therefore, investment professionals have an incentive to provide investment recommendations that result in selling more investment products and services that carry higher fees.

Did you or your financial professional have legal or disciplinary history?

No. Visit [Investor.gov/CRS](https://www.investor.gov/crs) for a free and simple search tool that you can use to research the firm and our financial professionals.

Questions to guide your conversation with us:

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

Where can I find additional information?

You can always ask your financial professional for more information about our brokerage services or for a copy of Form CRS.

Questions to guide your conversations with us:

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

*Statements in this summary (including our obligation to act in your best interest when making a securities recommendation) (i) are required by SEC Form CRS, summary in nature and limited in substance and size by SEC Form CRS; (ii) related only to our obligations under SEC Regulation Best Interest, (iii) do not create or modify any agreement, relationship or obligation between you and us or our financial professionals; and (iv) are subject to more complete terms and conditions of our brokerage agreements and disclosures.