

April 1, 2025

Customer Relationship Summary

Helping you make an informed decision

Form CRS

Introduction

Global Pacific Securities US, Inc. ("GPS")

Securities products and services offered by Global Pacific Securities US, Inc. Member [FINRA/SIPC](#).

Brokerage and investment advisory services and fees differ, and it is important for you to understand the differences.

Free and simple tools are available for you to use at, [Investor.gov/CRS](#) | [Investor.gov](#) a website maintained by the SEC. These tools can provide you with educational materials about broker-dealers, investment advisers, and investing.

This relationship summary provides information that helps you make an informed decision about whether or not to invest with us and will answer the following questions:

- What investment services and advice can you provide me?
- What fees will I pay?
- What are your legal obligations to me when providing recommendations as my broker-dealer? How else does the firm make money and what conflicts of interest do you have?
- How do your financial professionals make money?
- Do you or your financial professionals have legal or disciplinary history?
- Where can I find additional information?

Terms to know

- A **broker-dealer** is a firm that acts as an intermediary between buyers and sellers of securities for which they will usually receive a commission and may purchase or sell those securities in/out of their own account.
- A **clearing firm** is a financial institution that facilitates transactions and custody of securities.

What investment services and advice can you provide me?

GPS offers brokerage services to retail and institutional investors. Within a brokerage account, clients may invest in Mutual Funds, Equities, Options, Corporate and US Government bonds, and Private Placements. GPS also acts as an underwriter or selling group member in best efforts offerings of equity securities and as a selling group member in firm commitment offerings of equity securities.

Some products have investment amount minimums which are established by the issuer of the products. We make available various types of accounts such as direct, retirement and brokerage accounts.

Additional information about these services is available at <https://globalpacificsecurities.com>.

Brokerage Services ■

GPS offers brokerage services to retail and institutional investors, including buying and selling securities, and recommendations to retail investors. GPS does not provide account monitoring.

What fees will I pay?

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.

Conversation Corner

Questions you might wish to ask when considering our services:

- 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?

Brokerage Services Fees ■

These are transaction-based fees investors pay every time they buy or sell an investment. This fee may take the form of a commission, or a markup/ markdown, and is based on the specific transaction and not the value of your account. This fee can be charged in many ways, including as a separate and distinct fee, included as a part of the purchase of the security (selling concession), or in the case of mutual funds as an embedded cost of the fund, which may include a redemption fee.

Other Fees and Costs

There may be additional fees and costs related to your brokerage services and investments in addition to the firm's principal fees and costs disclosed above that you will pay directly or indirectly. Examples of these categories of the most common fees and costs applicable to you may include but are not limited to the following: custodian fees, account maintenance fees, fees related to mutual funds, and other transactional fees and product-level fees.

For detailed information regarding GPS fees, please visit the disclosures maintained on the website.

What are your legal obligations to me when providing recommendations as my broker-dealer? How else does the firm make money and what conflicts of interest do you have?

Standard of Conduct

When we provide you with a recommendation as your broker dealer, 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. Here are some examples to help you understand what this means.

Examples of Ways We Make Money and Conflicts of Interest

Limited Investment Offerings: Some of our financial professionals may only be licensed to sell specific investments; therefore, they cannot provide the full range of broker-dealer investments and services we make available. Other firms and/or financial professionals could offer a wider range of choices, some of which might have lower costs.

Trail Compensation: Our firm may receive ongoing compensation (commonly known as trails, service fees or 12b-1 fees) from mutual fund companies. This compensation is typically paid from the assets of the investment product under a distribution or servicing arrangement and it is shared with our financial professionals. We have an incentive to recommend that you purchase and hold interests in these products that pay us trails.

How do your financial professionals make money?

The financial professionals servicing your account(s) are compensated through commissions which can vary depending on the products sold. This compensation may present a conflict of interest. They may also receive non-cash compensation in the form of invitations to issuer sponsored conferences, due diligence meetings and/or sponsor-paid entertainment events.

Additional detailed information is provided within your new account documents.

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

No. For a free and simple search to research the firm and their financial professionals, please visit <http://www.investor.gov/CRS> or <https://brokercheck.finra.org>

Where can I find additional information?

You can find additional information about our brokerage services by visiting our website at <https://globalpacificsecurities.com>. To request a copy of our relationship summary, please contact us at 917-970-0898.

Form CRS (this document), Regulation Best Interest Disclosure, and Legal Disclosures are either included within your account opening documents or are available upon your request.

Conversation Corner

Questions you might wish to ask when considering our services

- As a financial professional, do you have any disciplinary history? For what type of conduct?
- Who is my primary contact person? Is he or she a representative of the broker-dealer? Whom can I talk to if I have concerns about how this person is treating me?

Conversation Corner

Questions you might wish to ask when considering our services:

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