

Client Relationship Summary

June 5th, 2020

Curtis Point Capital (“CPC”) is registered with the Securities and Exchange Commission (“SEC”) as a broker-dealer. Brokerage and Firm investment advisory services and fees differ, and it is important for you to understand the differences. This Client Relationship Summary provides details about our brokerage services, fees, and other important information.

Free and simple tools are available for investors to research firms and financial professionals at [Investor.gov/CRS](https://www.investor.gov/crs). Here, you can also find educational materials about broker-dealers, investment advisers, and investing.

What investment services and advice can you provide me?

Curtis Point Capital offers Private Placements to accredited investors. CPC offers accounts with individuals, companies, joint accounts, trusts accounts. Curtis Point Capital’s product offerings include Private Placements. CPC does not hold customer funds or securities. We do not hold any discretionary accounts for our clients., but we will provide guidance related to investment products. The firm does not have account minimum requirements.

CPC representatives will make recommendations that are based upon your risk profile that you establish with the firm when filling out account opening forms. Since we only hold non-discretionary accounts, it is you, the client, that will make the ultimate decision regarding all purchases and sales of investments.

Conversation Starters. Ask your financial professional these questions to learn more:

- **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?**

For additional information, about CPC Securities, or its representatives at please review

[brokercheck.finra.org](https://www.brokercheck.finra.org).

What fees will I pay?

Conversation Starter –

- **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?**

CPC Securities charges from 0% to 5% for brokerage services and Private Placement Services.

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. As such, the more you make the more your fees will add up, further a potential conflict exists since we have incentive to you to engage in transactions.

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?

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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.

Here are some examples to help you understand what this means:

The more activity you have and if you are an active market participant, the more your fees will add up, therefore a potential conflict exists since we have incentive for you to engage in transactions. Our fees vary and are negotiable. The amount you will pay will depend, for example, on how much you buy or sell, what type of investment you buy or sell and what kind of account you have with us. Other additional fees may be charged to your account such as confirm and statement charges, and account inactivity fees.

Conversation Starter –

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

How do your financial professionals make money?

Investment professionals are compensated monthly by receiving an agreed upon percentage of the sales commissions they generate in that particular month. CPC Securities may choose to compensate investment professionals with discretionary bonuses based upon certain criteria such as employee performance, merit, or customer service. Professionals may receive compensation for earning new client business or expanding client relationships in the form of discretionary bonuses.

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

Yes, we have financial professionals who have legal or disciplinary events.

For information regarding disciplinary history please visit:

Investor.gov/CRS or brokercheck.finra.org for a free and simple search tool to research CPC Securities and any of our financial professionals.

Conversation Starter –

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

Additional Information

For additional information about our services, contact our CEO/President, Andrew Van Ogtrop avo@curtispointcapital.com. If you would like additional, up-to-date information or a copy of this disclosure please call (617) 901-0567 and our compliance department will provide you with a copy.

Conversation Starter –

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