

September 1, 2024

Introduction

MMM Securities LLC ("MMM Securities," "we," "our," "us") is registered with the Securities and Exchange Commission (SEC) as a broker-dealer and is a member of FINRA and 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](https://www.investor.gov/crs), which also provides educational materials about broker-dealers, investment advisers, and investing.

Relationship and Services

What investment services and advice can you provide me?

MMM Securities markets and places private securities offerings on behalf of issuers, funds and/or their representatives to retail accredited and non-accredited investors. We are a limited purpose broker-dealer that offers investments in Reg D, Reg A, and Reg CF private offerings to retail customers via our website and directly to those customers with whom we have established relationships. Our investment offerings are limited to those on our website at any given time and those that we communicate directly to customers. We do not provide investment advice or traditional brokerage services to retail customers. We do not open accounts for investors; accordingly, we do not provide any account monitoring.

Investing in an offering can be accomplished through a third party broker-dealer or qualified custodian that offers our services. We do not accept customers directly. All MMM Securities customers are institutions or broker-dealers. MMM Securities does not offer investment advice to buy, sell, or hold an investment.

Ask one of our financial professionals:

- 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?
- Email support@monark-markets.com to set up a call with us.

Fees, Costs, Conflicts, and Standards of Conduct

What fees will I pay?

MMM Securities charges fees for trading on the MMM Alternative Trading System (ATS). Additionally, you should carefully review the offering documents for any investment you consider, to understand the fees and costs associated with the investment, including investments offered by an affiliate of MMM Securities. We encourage you to read all fee disclosures provided by your broker-dealer or custodian and contact your broker-dealer or custodian for further information. 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.

Ask one of our financial professionals:

- Help me understand how fees and costs might affect my investments. If I invest \$10,000, 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?

We **do not** provide recommendations. 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 services we provide you. Here are some examples to help you understand what this means: When you invest in a private offering derived from our platform, including when you invest through one of our affiliates, we may be paid commissions from or participate in revenue sharing arrangements with issuers, funds and/or their sponsors offering the investments or through commission sharing arrangements with broker-dealers associated with such investments.

This poses a conflict of interest, because we are incentivized to offer investments where such agreements exist; the more you invest, the more we are compensated by an investment sponsor or earn from a commission sharing arrangement with a broker-dealer. We also have a conflict of interest when an affiliate offers or manages a fund and/or is a fund. Such a fund or manager may charge fees in addition to the compensation we earn as a broker-dealer. Moreover, the compensation for each offering marketed or distributed by us may differ, which may result in higher compensation from some offerings compared to others. This is a conflict of interest because we are incentivized to focus on offerings with higher commission rates than ones with lower rates.

Ask one of our financial professionals:

- How might your conflicts of interest affect me, and how will you address them? Email support@monark-markets.com

How do your financial professionals make money?

Financial professionals associated with MMM Securities are all employees of Monark Markets, Inc., the parent company of MMM Securities. Our financial professionals are paid a salary by the parent company and eligible for incentive compensation. For those financial professionals who work with issuers and funds, their incentive compensation may take into account amounts invested in private securities by investors.

Disciplinary History

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

No; neither our firm nor our financial professionals have any reportable events to disclose. To learn more, [please visit Investor.gov/CRS](https://www.investor.gov/CRS) for a free and simple search tool to research us and our financial professionals.

Ask one of our financial professionals:

- As a financial professional, do you have any disciplinary history? For what type of conduct? Please email our support team to set up a phone call at support@monark-markets.com

Additional Information

You may request up-to-date information about our firm and services and request a copy of this relationship summary by email support@monark-markets.com

Ask one of our financial professionals:

- 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?