

# Park Place Capital Securities Corp.

## Customer Relationship Summary (Form CRS)

August 7, 2024

### Introduction

Park Place Capital Securities Corp. is registered with the Securities and Exchange Commission (SEC) as a broker-dealer and is a member firm of the Financial Industry Regulatory Authority (FINRA) and the Securities Investor Protection Corporation (SIPC).

There are different ways you can get help with your investments. You should carefully consider which types of accounts and services are right for you. As a broker-dealer, we provide our clients with brokerage accounts and services. Additionally, advisory services are provided through our affiliated SEC registered investment adviser Park Place Capital Corporation (PPCC). This document gives you a summary of the types of services we provide and how you pay for those services. Brokerage and investment advisory services and fees differ, and it is important for the retail investor to understand the differences. Free and simple tools are available for you to research firms and financial professionals at [www.investor.gov/CRS](http://www.investor.gov/CRS), a website maintained by the SEC. These tools can also provide you with educational materials about broker-dealers, investment advisers, and investing.

### What investment services and advice can you provide me?

We offer brokerage services to retail investors, including buying and selling securities. Our services include discussing your investment goals, assistance with developing or executing an investment strategy, on-going communications, making investment recommendations consistent with your investment strategy and facilitating the execution and settlement of your securities transactions.

To that end we generally provide services on a non-discretionary basis, and to this end, 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. Notwithstanding that, we may accept limited discretionary authority, as to price and time, in certain circumstances. Our investment advice generally covers equities, debt, mutual funds, governments, municipals, private placements, DPP's and referrals for repurchase agreements. Other firms could provide advice on a wider range of choices, some of which might have lower cost. We do not have any requirements for retail investors to open or maintain an account with us. Unless we separately agree, we do not monitor your brokerage accounts. Finally, it should be noted that we also offer mergers and acquisition services to corporate and institutional clients.

#### **Additional Information**

For additional information on our brokerage activities please see our Regulation Best Interest Disclosure or other applicable documents. Additionally, you can contact us about our services at 800-459-9084.

#### ***Conversation Starter: - Ask your financial professional -***

- ***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?

#### **Principal Fees and Costs**

If you open a brokerage account, you will pay us a transaction-based fee, generally referred to as a commission, every time you buy or sell an investment. While our fees vary, the amount you 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. With stocks or exchange-traded funds, this fee is usually a separate commission. With other investments, such as bonds, this fee might be part of the price you pay for the investment (called a "mark-up" or "mark down"). With mutual funds, this fee (typically called a "load") reduces the value of your investment.

*Ultimately, the more transactions in your account, the more fees we charge you. We therefore have an incentive to encourage you to engage in transactions.*

### **Other Fees and Costs**

We also charge you additional fees, such as custodial fees, account maintenance charges, account inactivity fees, deferred sales charges, wire transfer and electronic fund fees, and other fees and taxes on custodial brokerage accounts and securities transactions and other transactional fees and product level fees. Some investments (such as mutual funds) impose additional fees that will reduce the value of your investment over time.

### **Additional 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.**

Please see our Regulation Best Interest Disclosures, and other applicable documents for additional information regarding our fees and costs.

***Conversation Starter: Ask your financial professional and start a conversation about the impact of fees and costs on investments -***

- ***Help me understand how these fees and costs 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 the 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 and investment advice, we provide you. Here are some examples to help you understand what this means:***

- ***Principal Trading:*** We may buy or sell securities to you for our own account (called “*acting as a principal*”). Because we earn compensation (such as commission equivalents, mark-ups, mark-downs, and spreads) and can receive other benefits in these principal transactions, we have an incentive to encourage you to trade with us on a principal basis.

### **Additional Information**

For additional information, please see our Regulation Best Interest Disclosures, and other applicable documents.

***Conversation Starter: Ask your financial professional -***

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

### **How do your financial professionals make money?**

Your financial professional earns compensation based upon a portion of the sales commissions resulting from the buying and selling securities for your brokerage account.

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

**No**, neither your financial professional nor we have any legal or disciplinary history.

Please see [www.Investor.gov/CRS](http://www.Investor.gov/CRS) or <https://brokercheck.finra.org> for a free and simple tool to research the background and experience of us and our financial professionals.

***Conversation Starter: Ask your financial professional:***

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

### **Where can I find additional information?**

For additional information regarding our services, please see our, Regulation Best Interest Disclosures, and other applicable documents, or if you would like additional, up-to-date information or a copy of this disclosure, please contact Bart Singleton by phone at 800-459-9084, or by email at [bart.singleton@parkplacecapital.com](mailto:bart.singleton@parkplacecapital.com).

***Conversation Starter: Ask your financial professional -***

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