

Trend Trade Securities, LLC

Form CRS (Customer Relationship Summary)

October 23, 2024

Trend Trade Securities, LLC is registered with the Securities and Exchange Commission ("SEC") as a broker-dealer and is a member of the Financial Industry Regulatory Authority (FINRA), the Municipal Securities Rulemaking Board (MSRB) and the Securities Investor Protection Corporation (SIPC). Brokerage services and fees differ, and it is important for you to understand these 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 brokercheck.finra.org and investor.gov/CRS. Here, you can also find educational materials about broker-dealers and investing.

What investment services and advice can you provide me?

Our brokerage services include the buying and selling of securities and investment products. If you open a brokerage account, you will pay us a transaction-based fee, generally referred to as a commission, when you buy or sell an investment. We may recommend investments, or you may select them, but the ultimate decision regarding an investment strategy or the purchase or sale of an investment will be yours. As a Firm we do not provide ongoing monitoring of your account; however, your financial professional will review your account before a recommendation is made to ensure we act in your best interest. Through our clearing firm, you will receive trade confirmations and account statements on a quarterly or monthly basis.

Monitoring. We do not provide account monitoring services for your brokerage accounts. Your registered representative may voluntarily review holdings in your brokerage accounts from time to time and may or may not make recommendations to you based on these reviews. These voluntary account reviews are not an account monitoring service.

Investment Authority. If you choose to have your registered representative make decisions on your behalf without discussion, you must provide him with a written discretionary authorization. In all other instances, you must discuss the transaction and have the ultimate decision regarding the purchase or sale of your investment.

Limited Investment Offerings. We may offer and make recommendations on products. We do not offer or make recommendations on all products of any particular type; for example, we do not offer or make recommendations on all mutual funds, or make available all share classes of the offered mutual funds.

Account Minimums and Other Requirements. Account size minimums or investment amount limitations may be different for every product. We advise you to ask your registered representative whether any investment limitation or account requirements apply.

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, please contact your Registered Representative or call (626) 234-8866, to request for up-to-date information.

What fees will I pay?

- The fee you pay is based on the specific transaction and not the value of your account.
- 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.
- Some investments (such as mutual funds and variable annuities) impose additional fees that will reduce the value of your investment over time. Also, with certain investments such as variable annuities, you may have to pay fees such as "surrender charges" to sell the investment. We provide additional disclosures to explain these fees before you purchase these investments.
- Our fees vary and are negotiable. 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.
- We charge you additional fees, such as account maintenance fees and account inactivity fees. These fees are disclosed to you at account opening and yearly in our annual letter to you.
- The more transactions in your account, the more fees we charge you. We therefore have an incentive to encourage you to engage in transactions.

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?

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.

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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 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:

- We benefit from our recommendations to you.
- We generally recommend portfolio transactions in exchange listed equities (Stocks), mutual funds, exchange traded funds (ETF's), options, and variable annuities. As a broker dealer we have no beneficial interest in the investments we recommend. We do not trade for our own account and do not buy or sell securities to you from our account.
- Your representative may purchase the same equities, mutual funds, exchange traded funds, options and variable annuities for their own or families' personal accounts.
- Financial professionals have a financial incentive to recommend investment products or offerings that result in greater compensation to them.
- Financial professionals receive compensation for successful referrals and therefore have a financial incentive to make those referrals.
- As registered representatives receive compensation based on a percentage of commissions generated from account activity, a conflict of interest arises as they are incentivized to execute more trades that consequently increase their commissions.
- Registered representatives are legally required to act in your best interest under Regulation Best Interest and not put his or her interest ahead of your own. We have policies and procedures to address conflicts of interest that may arise from the manner by which registered representatives make money that includes procedures to review whether a recommendation is in your best interest.
- As part of our clearing agreement with RBC Clearing and Custody, we receive compensation in numerous ways including administrative charge, mutual fund networking fees and the bank deposit, margin and credit access line programs. As such Trend Trade Securities, LLC has a conflict of interest due to the financial incentive to maintain clearing and custody relationship with RBC, recommend certain transactions, or to invest your assets in products, sponsors and mutual fund managers that share their revenue indirectly with us, over other products, sponsors, or fund managers that do not or who share less.

Conversation Starter:

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

Should you deem that a conflict of interest arises or is imminent—whether that be due to the Firm's policies and procedures or an action by a Registered Representative, please let the Firm know about it immediately.

For additional information, please contact your Registered Representative or call (626) 234-8866, to request for up-to-date information.

How do financial professionals make money?

Registered representatives are compensated based on a percentage of commissions generated from account activity. A conflict of interest arises as they are incentivized to execute more trades thereby increasing their commissions. The commission amount can also vary significantly depending on the specific product sold. For instance, a typical mutual fund A share could have a load (or commission) of 5% while an equity trade could range from less than 1% to 5%.

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Conversation Starter:

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

Do you or your financial professionals have legal or disciplinary history? Yes. (brokercheck.finra.org)

You can visit investor.gov/CRS for a free and simple search tool to research our firm and financial professionals.

Conversation Starter:

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

For additional information about Trend Trade Securities, LLC. or to request a copy of this relationship summary please contact your Registered Representative or call (626) 234-8866.