



CLIENT RELATIONSHIP SUMMARY

May 14, 2024

INTRODUCTION

Peters & Co. Equities Inc. ("Equities" or "we") is a broker-dealer registered with the Securities and Exchange Commission and is a member of the Financial Industry Regulatory Authority ("FINRA") and is a Member of the Securities Investor Protection Corporation ("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 www.investor.gov/CRS, which also provides educational materials about broker-dealers, investment advisers, and investing.

What investment services and advice can you provide me?

We offer brokerage services (commission-based) to a small number of high-net-worth accredited retail investors.

Our primary service as a broker-dealer is buying and selling equity securities for your account at your direction. We limit these services primarily to Canadian energy sector issuers on Canadian marketplaces. We do not provide recommendations to retail investors. Our brokerage services are only offered on a non-discretionary basis. This means you make the ultimate decision regarding the purchase or sale of your investments. We only open accounts for retail investors who are accredited investors meaning they have a net worth individually of \$200,000 or as a couple of \$300,000. We do not have requirements as to minimum investment amount, though certain investments are subject to minimums.

Custody/Monitoring

We do not maintain custody of client funds or securities. We do not provide ongoing monitoring of retail investor accounts.

For further information please see our website at www.petersco.com.

Conversation Starters. 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?

The primary fees you pay are "commission charges." This means you pay a fee when we buy or sell investments for you. The amount of the commission charge is at the discretion of your financial professional. The more transactions in your account, the more fees you will be charged. We therefore have an incentive to encourage you to trade more often and in larger amounts.

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.

For additional information about imbedded fees and costs of investment products, please see the product's prospectus or offering documents.

Conversation Starters. Ask your financial professional:

- *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?*

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.

- **Third-Party Payments:** We are paid a commission on purchases and sales of investments from certain third-party sponsors and managers (or their affiliates) if you invest in their products. This incentivizes us to sell these products over other products that do not make such payments or pay less.
- **Order Routing:** We route client orders to our parent company Peters & Co. Limited for execution who earns a fee. We therefore have a monetary incentive to trade more and route orders that pay our parent company for such orders.

Conversation Starters. 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 registered representative receives compensation based on the overall performance of the firm and their own contribution to this performance. Compensation can include biweekly, monthly, quarterly and annual elements. Your registered representative is not paid using a formula linked to specific trades or aggregate trade volumes.

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

No. Visit www.investor.gov/CRS for a free and simple search tool to research us and our financial professionals.

Conversation Starters. Ask your financial professional:

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

Additional Information

For more information about our services please visit our website at www.petersco.com. If you would like additional up-to-date information or a copy of this relationship summary, please call your Registered Representative at (403) 261-4850.

Conversation Starters. Ask your financial professional:

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