

3.NF-KD09-BI-0620
Form CRS Customer Relationship Summary
Dated November 17, 2025

Introduction	Gordon, Haskett Capital Corporation is registered with the Securities and Exchange Commission (SEC) as a broker-dealer and is a member of the Financial Industry Regulatory Authority (FINRA) and the Securities Investor Protection Corporation (SIPC).
Is a Brokerage Account Right for You?	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. We are a broker-dealer and provide brokerage accounts and services rather than advisory accounts and services. This document gives you a summary of the types of services we provide and how you pay. Please ask us for more information. 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 , which also provides educational materials about broker-dealers, investment adviser, and investing.
What investment services and advice can you provide me?	<p>We offer a limited selection of investments. Other firms could offer a wider range of choices, some of which might have lower costs.</p> <p>We are primarily an institutional brokerage firm. We offer retail brokerage services only to a small number of relatively high net worth retail customers, consisting principally of associated persons and employees of our firm, members of their immediate families and a limited number of individual family members and friends of those persons.</p> <p>Additionally, we are not a “full service” brokerage firm. The brokerage services we offer to retail investors consist of unsolicited agency trade execution only in equities (stocks) listed on the major registered U.S. national stock exchanges—the New York, American and NASDAQ stock exchanges, including Exchange Traded Funds (ETFs), American Depositary Receipts (ADRs) and U. S. Treasuries. We do not offer any trading services in any stock options, debt securities (corporate or government bonds), municipal securities, variable annuities, futures, commodities or any other type of security other than exchange traded equities.</p> <p>Further, we do not provide any investment recommendations, account management, monitoring, investment advisory or investment research products or services.</p> <p>We are a non-clearing introducing correspondent brokerage firm. This means we do not directly maintain customer accounts, clear and settle customer securities transactions or provide any account custodial services. Rather, customer accounts are introduced on a fully disclosed basis to our registered clearing agent, National Financial Services LLC (“NFS”), a subsidiary of Fidelity Group. Acting as our agent, NFS carries and maintains your account with our firm, clears and settles all your securities transactions executed in your account and provides customer trade confirmations and monthly customer account statements.</p>
	<p>Conversation Starters. Ask your financial professional—</p> <p><input type="checkbox"/> Given my financial situation, should I choose a brokerage service? Why or why not?</p> <p><input type="checkbox"/> “How will you choose investments to recommend to me?”</p> <p><input type="checkbox"/> What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?</p>

What fees will I pay?	<p>The principal fees and costs for the firm’s retail customers are for brokerage services provided, which are mainly transaction-based brokerage commissions on each individual securities trade executed by us on your behalf, at your request and upon your instructions. Accordingly, you will be charged more when there are more trades in your account, and that the firm would have an incentive to encourage you to trade more frequently if the firm made investment recommendations and solicited securities transactions.</p> <p>Our firm does not charge its retail customers other fees and costs related to your brokerage services and investments, such as common brokerage account fees and costs such as a custodian fees, account maintenance fees, fees related to mutual funds and variable annuities, and other transactional and product level fees, other than maintenance fees charged by NFS on Individual Retirement Accounts (IRAs). Rather, all those types of fees are covered by the clearance fee our firm pays NFS to provide those services and are covered by a portion of the transaction-based commission charged on customer stock trades.</p> <p>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.</p> <p>Conversation Starter. 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?”</p>
What are your legal obligations to me when providing recommendations? How does your firm make money and what conflicts of interest do you have?	<p>We <i>do not</i> provide recommendations. We only make money from retail customer accounts when our retail customers initiate unsolicited and self-directed securities transactions, and from incidental rebates received from our clearing firm in respect of 12b-1 fees earned by the Company to cover marketing and distribution expenses on a percentage of its money market account balances. We do not have incentives that would normally conflict with our customers’ interests, such as if we engaged in any of the following services or practices or interests that full-service brokerage firms may offer or engage in:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Proprietary products <input type="checkbox"/> Third-party payments <input type="checkbox"/> Revenue sharing <input type="checkbox"/> Principal trading <p>The way we make money can create some conflicts with your interests. You should understand and ask us about these conflicts because they can affect the services we provide you. Here is an example to help you understand potential conflicts of interest:</p> <p><u>Third-Party Payments:</u> For certain investment products (for example, certain mutual funds), we receive 12b-1 compensation from third parties when you purchase and/or hold the product.</p> <p>Conversation Starter. Ask your financial professional— <input type="checkbox"/> How might your conflicts of interest affect me, and how will you address them?</p>
How do your financial professionals make money?	<p>Our firm’s financial professional registered representatives are compensated only by cash compensation in the form of fixed salaries. They are not compensated in any way that may result in conflicts of interest with our retail clients’ best interests, such as percentages of brokerage commissions, the amount of client assets they service, the time and complexity required to meet a client’s needs, the product sold or product sales commissions.</p>
Do your financial professionals have legal or disciplinary history?	<p>Yes.</p> <p>Visit Investor.gov/CRS for a free and simple search tool to research us and our financial professionals.</p> <p>Conversation Starter. Ask your financial professional— <input type="checkbox"/> As a financial professional, do you have any disciplinary history? For what type of conduct?</p>
Additional Information	<p>For additional information about our services, please visit our website. If you would like additional, up-to-date information or a copy of this disclosure, please call (212) 883-0600.</p> <p>Conversation Starter. Ask your financial professional— <input type="checkbox"/> 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?</p>

