



## Client Relationship Summary

September 2020

Gatsby Securities, Inc. (“Gatsby” or the “Firm”) is registered with the Securities and Exchange Commission (SEC) as a broker-dealer and is a member of the Financial Industry Regulatory Authority (FINRA). Brokerage and investment advisory services and their fees differ and it is important that you understand the differences. Free and simple tools are available to you to research firms and financial professionals at <https://www.investor.gov/CRS>, which also provides educational materials about broker-dealers and investment advisors.

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

Our brokerage services include the buying and selling of securities and investment products, specifically **options**. If you open a brokerage account, you will not pay us a transaction-based fee for trading options. There is no minimum amount required to open an account.

As a “self-directed” broker, we do not make securities recommendations, the ultimate decision regarding an investment strategy or the purchase or sale of an investment will be yours.

Through our clearing firm we will provide you with your trade confirmations, account statements and trading history daily, quarterly or monthly as is appropriate. These documents are all available through the Gatsby app., and can be accessed whenever you wish to review them.

It is important to understand our products and services are limited as there are other account types and investment products which we do not offer that may benefit your portfolio. In addition, there could be other firms who offer the same or similar investment options or services for a lower cost.

*For more detailed information on the products and services we offer, including limitations, visit [trygatsby.com](http://trygatsby.com)*

### **QUESTIONS TO ASK YOUR 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?**

When you transact a self-directed Options trade in a brokerage account, you will not pay Gatsby a transaction-based fee. You will pay certain exchange and regulatory fees on your trades. These fees will generally vary between **\$.055 and \$.09 per contract**.

*You will pay fees and costs whether you make money 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 more detailed information regarding fees and cost of your account visit:**  
<https://www.trygatsby.com/legal/>

#### QUESTIONS TO ASK YOUR PROFESSIONAL:

- Can you 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. We make money from other brokers paying us a fee when they execute our customers' orders. Because we get paid when you complete a transaction, we could have an incentive to encourage you to make larger investments and trade more frequently. We also earn a small % of the interest on customer cash balances held at Gatsby.

#### QUESTIONS TO ASK YOUR PROFESSIONAL:

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

#### **How do your Financial Professionals make their money?**

Our financial professionals are paid a salary, and potentially a bonus based on the Gatsby's overall results. Our financial professionals **do not** earn any incentive-based compensation tied to the trading or investments of our customers.

#### **Do you or your Financial Professionals have legal or disciplinary history?**

None of our Professionals have legal or disciplinary histories. Visit [www.investor.gov/CRS](http://www.investor.gov/CRS) for a free and simple search tool to research us and our financial professionals.

#### QUESTIONS TO ASK YOUR PROFESSIONAL:

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

For additional information about our products and services, visit [www.investor.gov](http://www.investor.gov) or [BrokerCheck.Finra.org](http://BrokerCheck.Finra.org), or visit our website: [www.trygatsby.com](http://www.trygatsby.com) and review your account agreement.

#### QUESTIONS TO ASK YOUR PROFESSIONAL:

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

#### Contact Info

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