



Gatsby Securities, LLC | Form CRS Customer Relationship Summary | November 2021 | v. 1.0

<p>Introduction</p>	<p>Gatsby 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) and 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 Investor.gov/CRS, which also provides educational materials about broker-dealers, investment advisers, and investing.</p>
<p>What investment services and advice can you provide me?</p>	<p>We establish brokerage accounts and offer brokerage services to retail investors, including buying and selling equity securities, ETFs and options on equity securities, through an internet-based platform. You are solely responsible for deciding how you want to invest, and you will have to monitor your account and place your trades. We offer research and other tools with respect to investment products on our internet-based platform; however, you make the ultimate decision regarding the purchase or sale of investments in your Gatsby account. Gatsby Securities does not provide financial planning or investment advice. We do have customer support that is available to assist with administrative questions related to your account.</p> <p>We offer investments limited to the following types of securities: (1) listed equity securities; (2) OTC equity securities; (3) leveraged ETF's; and (4) options contracts. Gatsby Securities does not require a minimum account size. While we do not accept custody of client assets, we do work with a qualified custodian.</p> <p>We offer our services to such retail investors who are 18 years or older that have a valid Social Security number and a legal U.S. residential address within the 50 states, Washington, DC or Puerto Rico and are a U.S. citizen, U.S. permanent resident, or have a valid U.S. visa. For additional information, please see disclosures and other applicable documents under the View Important Disclosures section or Legal section on our website www.trygatsby.com/legal.</p> <hr/> <p>Conversation Starter Questions to Ask of Gatsby:</p> <ul style="list-style-type: none"> - Given my financial situation, should I choose a brokerage service? - What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?
<p>What fees will I pay?</p>	<p>Gatsby Securities does not charge commissions or fees for the buying and selling of securities or options. We also do not charge an account maintenance fee or subscription service fee. You may pay fees and costs in limited circumstances whether you make or lose money on your investments related to exchange, regulatory or clearing fees. 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, please see disclosures and other applicable documents under the disclosure section on our website here https://www.trygatsby.com/legal/Gatsby Commission & Fee Schedule.pdf</p>
	<p>Conversation Starter Questions to Ask of Gatsby:</p> <ul style="list-style-type: none"> - 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 investment recommendations can you provide to me?

<p>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?</p>	<p>Gatsby Securities does 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 to you. Although we do not provide recommendations, we must act in your best interest and not put our interest ahead of yours. For additional information, please see disclosures and other applicable documents under the disclosure section on our website www.trygatsby.com/</p> <p><u>Conversation Starter Questions to Ask of Gatsby:</u></p> <ul style="list-style-type: none"> - How might your conflicts of interest affect me, and how will you address them?
<p>How do your financial professionals make money?</p>	<p>Gatsby Securities does not assign a financial representative to your account and there is no compensation based on advice, commissions or recommendations. The firm and its financial professionals earn the following fees when providing its services to you:</p> <ol style="list-style-type: none"> 1. Gatsby earns revenue from your trade activity and therefore has a monetary incentive for you to trade more. Specifically, we earn revenue from our clearing firm where we route customer orders. This arrangement is subject to our best execution requirements. 2. 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. 3. We receive a portion of the interest earned on uninvested cash and money market fund balances on deposit with our clearing agent. There may be an incentive for Gatsby to sweep client funds to Money Markets or to keep excess cash at Gatsby. 4. We receive a portion of the revenue generated from fully paid securities lent to other institutions. All Gatsby clients are initially enrolled in Apex’s Fully Paid Securities Lending program and can opt out by contacting support@trygatsby.com. Apex Clearing is a clearing agent for Gatsby Securities LLC. 5. Margin interest: Gatsby receives a portion of the interest generated on margin loans issued against the holdings of your account. Gatsby receives the spread between the rate we pay on the money we lend and the rate you pay us. 6. Gatsby charges an LQT (“Liquidity”) fee of \$.05 per contract, which is partially used to offset the OCC fee. 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. 7. Other fees and costs: For a full list of fees and costs, including those charged on transactions such as wires, reversed ACH deposits, regulatory, the LQT (“Liquidity”) fee and others, please see the full fee schedule at trygatsby.com/legal.
<p>Do you or your financial professionals have legal or disciplinary history?</p>	<p>Yes, some of our registered representatives have prior legal or disciplinary events. For information regarding discipline history please visit: Investor.gov/CRS and/or https://brokercheck.finra.org/ for a free and simple search tool to research Gatsby Securities, LLC, and any of our employees.</p> <p><u>Conversation Starter Questions to Ask of Gatsby:</u></p> <ul style="list-style-type: none"> - As a Gatsby employee, do you have any disciplinary history? For what type of conduct?
<p>Additional Information</p>	<p>For additional information about our services, visit our website or contact us at support@trygatsby.com. If you would like additional, up-to-date information or a copy of this disclosure, please contact our customer support team at the email address above.</p> <p><u>Conversation Starter Questions to Ask of Gatsby:</u></p> <ul style="list-style-type: none"> - Who is my primary contact person? Are they 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 and my investments? - Contact: (856) 393-6682 email: Support@trygatsby.com