

Broad Investment Securities LLC (“BIS”)

Broad Investment Securities (“BIS”) is a limited liability company formed under California law and is registered as an investment advisor with the Securities and Exchange Commission (“SEC”). 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](https://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?

At BIS, we provide investment advisory services to our retail investors giving continuous advice based on the client’s individual needs. We provide discretionary investment management services through our model portfolios. If you engage us to provide ongoing monitoring of your portfolio, we will assist you in matching your goals and risk tolerance to a model portfolio or create a custom portfolio that addresses your specific needs. In a discretionary account, the Adviser will have the authority to determine which securities are bought and sold without prior consultation with the client. Discretion is exercised in a manner consistent with the client’s stated objectives, and any restrictions the client provides in writing.

We will monitor all our investor’s investment monthly as our standard services. There are several factors also will trigger us for a non-periodic review. For the whole advisory services period, all our services are on a discretionary basis, which means that buy and sell decisions are made by us. For our model portfolio management services, we only invest in security markets in the United States and Hong Kong markets. We don’t involve any trades on OTC market. Investment products involved including Treasury Inflation Protected /Inflation Linked Bonds, mutual funds, exchange traded funds, real estate investment trusts, equity, and options. For tailor services, we can negotiate with clients regards to limited investment offering on a case-by-case basis. We provide services to high-net- worth clients, qualified purchasers and non-U.S. resident clients. There is not an account minimum to establish a relationship with us

Additional information about services provided is available in our Form ADV Part 2A (our “Brochure”), in Items 4 and 7; or call our office to have a copy sent to you. When considering our services, ask your financial professional:

<i>Given my financial situation, should I choose an investment advisory service? Why or why not?</i>
<i>How will you choose investments to recommend to me?</i>
<i>What is your relevant experience, including your licenses, education, and other qualifications? What do these qualifications mean?</i>

What Fees Will I Pay?

You will pay an on-going fee that is charged monthly in arrears based on the value of the cash and investments in your account. The amount paid to our Firm and your Financial Professional does not vary based on the type of investments we select on your behalf. The asset-based fee reduces the value of your account. Our fees vary and may be negotiable. The fees will be automatically deducted from your account, and our annual fee is 1%, and charged monthly. The management fee is calculated according to the daily account value and charged at the end of the month. The more assets there are in an investor’s advisory account, the more an investor will pay in fees, and the firm may therefore have an incentive to encourage the investor to increase the assets in his or her account.

Performance-based fee: Applied as a 10% of quarterly profit and loss at the end of each quarter (as of 3/31, 6/30, 9/30, 12/31). And high-water marking method is used to offset periods of losses in a volatile market. High Water Marking keeps track of cumulative losses per billing period within a quarter look-back period. A loss in any period will be added to the look-back period’s cumulative losses. A gain in any period will decrease the cumulative loss recorded to date. BIS will not charge a profit-based fee as long as a cumulative loss exists.

Other Fees and Costs: Aside from the fees we charge you for providing investment advice, you may have to pay other fees related to brokerage or investment advisory services for non-wrap accounts. Fees can be charged directly or indirectly. Direct fees include transaction fees and account maintenance fees (including IRA fees) charged by the custodian that holds your account, prime broker fees, deferred sales charges, odd-lot differentials, transfer taxes, wire transfer and electronic fund fees, and other fees and taxes on brokerage accounts and securities transactions. Indirect

fees include internal management fees (including 12b-1 fees and annual fund operating expenses) charged by mutual funds and exchange traded funds, which are disclosed in a fund's prospectus.

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, please see Form ADV, Part 2A Brochure (items 5.A., B., C., and D.) and other applicable documents.

When considering our services, 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 acting as my investment adviser? How else does your firm make money, and what conflicts of interest do you have?

When we act as your investment adviser, we have to act in your best interests and not put our interests 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 investment advice we provide to you. Here are some examples to help you understand what this means.

The Firm advises separately managed accounts. These accounts pay an investment management fee to the Firm. As we also charge performance-based fees, this might cause a conflict of interest as we might choose investments which be riskier and has higher potential return. We will keep all our investment in the allowance written in investment policy that agreed by investors to avoid this conflict of interest.

Additional information about conflicts of interest is available in our ADV Disclosure Brochure (Form ADV Part 2A, Item 10). **When considering our services, 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?

Our advisors receive a portion of the revenue generated by the clients they serve. Advisors and staff may receive bonuses based on our profitability and their individual performance. Financial professionals who are also owners may also receive their share of corporate distributions.

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

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

When considering our services, ask your financial professional:

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

Please refer to our Form ADV (also known as our "Brochure"), as it contains more details on these and other topics. Please call us at +001 6363182914 or email mdfmdf@126.com to request our latest Brochure and any updated Summary that may be available.

When considering our services, 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?