

Rocket Dollar Capital, LLC

Form CRS (Customer Relationship Summary)

January 10, 2022

Rocket Dollar Capital, 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 the differences. Brokerage fees are transaction driven so the more transactions you do, the more commissions or transaction fees are generated. This Client Relationship Summary provides details about our brokerage services, fees, and other important information. Free and simple tools are available for investors to research firms and financial professionals at investor.gov/CRS. Here, you can also find educational materials about broker-dealers, investment advisers, and investing.

What investment services and advice can you provide me?

Rocket Dollar Capital, LLC offers brokerage services to retail investors. As a broker/dealer it conducts the following business: non-exchange member arranging for transactions in listed securities by exchange member.

Monitoring. To the extent that your investment was recommended by your registered representative, your investment is monitored routinely or as often as reasonably possible given his or her schedule. For example, he or she may be traveling and have limited access to significant news that affect your investment or the market in general. This is a standard part of our services at no additional cost to you.

Investment Authority. In all instances, you have the ultimate decision regarding the purchase or sale of your investment.

Limited Investment Offerings. Registered Representatives generally transact in listed securities. However, we may transact business in available ETFs, for example. Furthermore, we do not participate in all syndicate offerings or direct investments (e.g., private placements, non-traded REITS).

Account Minimums and Other Requirements. Account size minimums or investment amount limitations may be different for every product.

Conversation Starters. Ask your financial professional these questions to learn more:

- Given my financial situation, should I choose an investment advisory service? Should I choose a brokerage service? Should I choose both types of services? 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?
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For additional information, please contact your Registered Representative or call (855) 762-5383, to request for up-to-date information.

What fees will I pay?

- The fee you pay is based on the specific transaction and not the value of your account.
- With stocks or exchange-traded funds, this fee is usually a separate commission.
- Our fees may vary and may be negotiable. The amount you pay will depend, for example, on how much you buy or sell.
- Fees are disclosed to you at account opening and yearly in our annual letter to you. The more transactions in your account, the more fees we charge you. We therefore have an incentive to encourage you to engage in transactions.

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.

Conversation Starter:

- 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?

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What are your legal obligations to me when providing recommendations as my broker-dealer or when acting as my investment adviser? How else does your firm make money and what conflicts of interest do you have?

When we provide you with a recommendation as your broker-dealer, we have to act in your best interest and not put our interest 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 recommendations we provide you.

Here are some examples to help you understand what this means:

- We benefit from our recommendations to you.
- We generally recommend portfolio transactions in exchange listed equities (Stocks) and exchange traded funds (ETF's). As a broker dealer we have no beneficial interest in the investments we recommend. We do not trade for our own account and do not buy or sell securities to you from our account.
- Your representative may purchase the same equities and exchange traded funds for their own or families' personal accounts.
- Financial professionals have a financial incentive to recommend investment products or offerings that result in greater compensation to them.
- Financial professionals receive compensation for successful referrals and therefore have a financial incentive to make those referrals.
- As registered representatives receive compensation based on a percentage of commissions generated from account activity, a conflict of interest arises as they are incentivized to execute more trades that consequently increase their commissions.

Should you deem that a conflict of interest arises or is imminent—whether that be due to the Firm's policies and procedures or an action by a Registered Representative, please let the Firm know about it immediately.

Conversation Starter:

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

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How do financial professionals make money?

Registered representatives are compensated based on a percentage of commissions generated from account activity. A conflict of interest arises as they are incentivized to execute more trades thereby increasing their commissions. The commission amount can also vary significantly depending on the specific product sold. For instance, an equity trade could range from less than 1% to 5%.

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.

Conversation Starter:

- 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

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Do you or your financial professionals have legal or disciplinary history? Yes. Some of our financial professionals have legal or disciplinary history. All representatives' history can be viewed through FINRA's Broker Check (brokercheck.finra.org).

You can visit investor.gov/CRS for a free and simple search tool to research our firm and financial professionals.

Conversation Starter:

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

For additional information about Rocket Dollar Capital, LLC or to request a copy of this relationship summary please contact your Registered Representative or call (855) 762-5383.

Conversation Starter:

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