

Cache Securities LLC
Form CRS – Client Relationship Summary
June 2023

Item 1: Introduction

Cache Securities LLC (“Cache Securities”) is an SEC-registered broker-dealer and FINRA member, and an affiliate of Cache Advisors LLC (“Cache Advisors”), which is an SEC-registered investment adviser. Advisory and brokerage entities offer different services and fees, and it is important for you to understand these differences. Free and simple tools are available to research Cache Securities and financial professionals at [Investor.gov/CRS](https://www.investor.gov/crs), which also provides educational materials about investment advisers, broker-dealers and investing.

Item 2: Relationships and Services

What investment services and advice can you provide me?

Cache Securities offers brokerage services such as private placement services and introducing brokerage services, including facilitating private placements and the execution of equity transactions. Customers will have the ability to transfer equities and exchange traded-funds (“ETFs”) from third-party brokerage accounts into an account held at Apex Clearing, LLC (“Apex”) in connection with the brokerage services offered by Cache Securities.

Private placements facilitated by Cache Securities have minimum investment amounts depending on the private fund. A full overview of investment terms, relevant risks, and other important information can be found in the specific offering documents. Cache Securities does not hold any investor funds, accounts, or securities. Cache Securities does not give investment advice, give recommendations, or monitor investors’ investments.

Cache Securities may also provide customers with the option to lend out their fully paid securities that he or she has transferred to their account held at Apex. You will earn a share of the interest proceeds from Apex pursuant to Apex’s Fully Paid Lending Program (“FPLP”). You will receive 60% of the interest proceeds with Apex receiving 40% of the interest proceeds earned through the FPLP.

Ask us the following questions:

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?

Item 3: Fees, Costs, Conflicts and Standard of Conduct

What fees will I pay?

In return for its private placement agent services, Cache Securities will receive an administrative fee to cover expenses from the issuers of private securities as described in the specific offering documents.

Cache Securities will earn interest income based on customer’s resting cash balances held at Apex Clearing pursuant to the terms of the Apex FDIC-insured sweep program (the “Sweep Program”). Apex Clearing will share the interest-proceeds earned through the Sweep Program with Cache Securities. Cache Securities will pass on a portion of the interest-proceeds earned to Customers as disclosed to Customers in the Customers’ account statements.

Cache Securities will earn rebates from payment for order flow on transactions executed and routed by Apex Clearing. Apex does not offer pure brokerage services in which customers purchase and sell securities and Cache Securities earns commissions for execution and/or clearance. Transactions through Cache Securities will be limited to liquidation of holdings in certain equity and ETF securities by Cache Securities.

You may also incur certain charges imposed by other third-parties (e.g., transfer fees, banking and ACH fees, administrative and other related fees).

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.

Ask us the following questions:

*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? How much will be invested for me?*

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

We do not provide recommendations as your broker-dealer. When we act as your investment adviser, we have to act in your best interest and not put our interests ahead of yours. At the same time, the way we make money creates some conflicts with your interest. You should understand and ask us about these conflicts because they can affect the services and investment advice we provide you. Here are some examples to help you understand what this means:

- Customers of Cache Securities are required to become customers of Cache Advisors, and that creates conflicts of interest based on their common ownership. Cache Securities will also earn revenue from investments in private funds advised by Cache Advisors.
- Cache Securities may earn revenue on FDIC sweep on credit balances, payment for order flow, and other ancillary fees generated by Apex, and thus has a monetary incentive for you to effect more transactions.

Ask us the following question:
How might your conflicts of interest affect me, and how will you address them?

How do your financial professionals make money?

All employees are paid a base salary and a discretionary bonus. Certain employees may also receive incentive compensation. Employees are not compensated for gathering assets, product sales, sales commissions, or the revenue that we or our affiliates receive. No compensation is based on the performance or selection of specific securities.

Item 4: Disciplinary History

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

No. Please visit [Investor.gov/CRS](https://www.investor.gov/CRS) for a free and simple search tool to research Cache Securities and financial professionals.

Ask us the following question:
As a financial professional, do you have any disciplinary history? For what type of conduct?

Item 5: Additional Information

For additional information regarding our fees, services, and conflicts, please visit our website at www.usecache.com. You can call us at (786) 383-2620 or email us at support@usecache.com to request a copy of our relationship summary or to ask any questions.

Ask us the following questions:
*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?*