

## CUSTOMER RELATIONSHIP SUMMARY

### **Introduction**

Thank you for choosing WallachBeth Capital, LLC. (“**WallachBeth**”) as your broker-dealer. We are registered with the U.S. Securities and Exchange Commission (“**SEC**”), a member of the Financial Industry Regulatory Authority (“**FINRA**”), and a participant in the Securities Investor Protection Corporation (SIPC). This Customer Relationship Summary (“**CRS**”) provides essential information about our brokerage services, fees, and other key details to help you make informed decisions about your investments.

### **Relationships and Services**

What investment services and advice can you expect from us?

- WallachBeth provides brokerage services on an unsolicited basis. This means that we execute orders based on your ideas without offering investment advice or making investment recommendations.
- We do offer Private Placements, exclusively to "Accredited Investors" and "Institutional Investors."
- Initial Public Offerings (“**IPO**”)
- We may also refer certain clients who are “Accredited Investors” to other financial institutions for specific investment opportunities.
- You retain full control over your investment strategy and the purchase or sale of investments in your account.
- There are no minimums to maintain an account, and orders are executed on an agency basis, where WallachBeth acts as an agent to execute your orders.
- After each order execution, you will receive a trade confirmation with relevant trade details. Additionally, you will receive monthly statements of your account activity, except in cases of no activity, where quarterly statements will be provided.
- Please review your confirmations and statements carefully for accuracy. If you have any questions or concerns, feel free to discuss them with your financial professional (“**FP**”), their supervisor, or a compliance officer. You can reach us via telephone at (646) 998-7607, email at [compliance@wallachbeth.com](mailto:compliance@wallachbeth.com), or in writing to: WallachBeth Capital, LLC., Attn: Compliance, 1001 Yamato Rd., Suite 404 Boca Raton, FL 33431.
- Your Financial Professional transactions are subject to daily review by their supervisor and Compliance.

### **Key Questions to Ask**

To ensure you have a clear understanding of our investment services and accounts, consider asking the following questions:

Given my financial situation, should I choose a brokerage service?

- How does WallachBeth select investments to recommend? (Please note that we do not offer investment advice for our clients.)
- Make sure you have a comprehensive understanding of all fees and costs associated with your account. Discuss them with your FP to avoid any surprises.
- Inquire about your FP's experience, licenses, education, and other qualifications, and understand what these qualifications mean.

- How does your FP earn money? Our FPs receive a portion of the commission charged on each trade, which means they earn more when there are more transactions executed in your account.
- Are there any conflicts of interest your FP may have?
- Ask your FP about any regulatory issues they may have.

### **What fees will you pay?**

- For each investment buy or sell order, you will pay a transaction-based fee, referred to as a commission, or a markup or markdown for riskless principal transactions. These fees will be disclosed on your trade confirmation.
- The decision to trade is entirely at the discretion of the investor. Please be aware that based on your decision to trade, commissions will be incurred in your account. We do not engage in recommending or soliciting trades from or to investors."
- In addition to commission costs, there will be a ticket charge assessed by the clearing firm on each transaction.
- Regardless of the performance of your investments, you will incur fees and costs. These fees and commissions will impact the amount you make on your investments over time. Please ensure you fully understand the fees and costs by discussing them with your FP.

### **Conflicts, Standard of Conduct & Legal Obligations**

WallachBeth strives for 'best execution' by reviewing order routing to exchanges and other venues, assessing factors like price improvement and execution speed to ensure favorable outcomes for clients.

- As part of our services, we may refer certain clients who are "Accredited Investors" to other financial institutions for specific investment opportunities.
- WallachBeth's associated persons may participate in referral deals. Compliance ensures any potential conflicts of interest are disclosed and appropriately managed
- WallachBeth may receive a rebate and/or incur a fee while routing orders to exchanges or market centers. Specific details are available upon written request.
- WallachBeth receives commissions from the issuers of Private Placements or offerings when our clients participate in these opportunities.
- Our duty is to act in your best interest and not place our interests ahead of yours. We do not recommend any investment strategies to our clients and ensure there are no personal FP transactions that take precedence over our clients' transactions. We adhere to specific regulatory obligations when providing services to you.

### **Does WallachBeth or its FP's have any disciplinary history?**

Yes. To research our firm and our financial professionals, you can use the free and simple search tool available at <https://www.investor.gov/CRS>. WallachBeth is committed to transparency and compliance with regulatory standards.

### **Additional Information**

For more information about WallachBeth, please visit our website at [www.Wallachbeth.com](http://www.Wallachbeth.com), and <https://www.brokercheck.finra.org/firm/summary/147853>.

If you wish to report a problem to the SEC, you can visit <https://www.investor.gov/> or call the SEC's toll-free investor assistance line at (800) 732-0330. You can also report a problem to FINRA at (844) 57-HELPS.

Thank you for entrusting WallachBeth with your investments. If you have any further questions or need assistance, please do not hesitate to contact us. We are here to help you make the most of your financial journey.