

Epic Capital Securities Corp (“ECSC” or the “Firm” or “us” or “we”) 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 Investors Protection Corporation (SIPC). It is important you are aware of the relationship you establish with ECSC. Brokerage and Investment advisory services and fees differ and it is important for you to understand the differences. Through ECSC you will establish a brokerage relationship. Free and simple tools are available to research different firms and financial professionals at [Investor.gov/CRS](https://investor.gov/CRS), which also provides educational materials about broker-dealers, investment advisers, and investing.

What investment services and advice can you provide me?

Our brokerage services include the buying and selling of securities and investment products. These include equities, ETFs, ETPs, options, mutual funds (offshore and onshore), corporate and sovereign fixed income securities as well as government (Treasuries), Structured Products (alternative investments), cash and non-cash sweep investments. ECSC also offers the ability to purchase securities on credit, also known as margin or extend a loan with a collateral account. ECSC also makes available debit card linked to your investment account. When establishing an account directly with ECSC or through a ECSC’s representative, we provide brokerage services and you have access to recommendations provided by your financial professional. In addition, ECSC also establishes retail accounts introduced to us by third-party financial services firms, including affiliated foreign investment advisers. For these types of accounts, ECSC will NOT provide recommendations to you. Instead, only you and the third-party financial services firms that you have granted authority may conduct activities and provide recommendations on the account. ECSC does not offer account monitoring services for any account. However, from time to time, we voluntarily review clients’ accounts to determine whether ECSC’s recommendation continues to be in clients’ best interest. ECSC does not have any material limitations on the type of products it can recommend. There is a \$50,000 minimum investment to open a brokerage account, but we may reduce or waive this requirement in some circumstances.

For more detailed information on the product and services we offer, please see the Firm’s [Brokerage Compensation and Conflicts Disclosure](#).

Conversation Starters. Ask your financial professional –

- Given my financial situation, should I choose brokerage service? 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 and what do these qualifications mean?

What fees will I pay?

Retail investors pay a transaction-based fee – more transactions result in higher fees and overall costs. Retail investors would be charged more when there are more trades in his or her account, and we have therefore an incentive to encourage retail investors to trade often. The amount you pay is based on each specific transaction and not the value of your account. With stocks or exchange-traded funds, this amount is usually a separate commission. With other investments, such as fixed income, structure products and government securities, the mark up/mark down, or sales credit is included in the purchase or sale price you pay for the security. ECSC will mark up the price when we sell you a security, and ECSC will mark down the price when we buy a security from you. Mutual funds typically have a fee called a sales load that reduces the value of your investment. Certain classes of mutual funds impose additional fees, such as internal management fees and 12b-1 fees, that will reduce the value of your investment over time. Also, when selling certain mutual fund classes, you will pay surrender charges. All retail clients will be charged an annual maintenance fee that could be subject to increase in the future. 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 more detailed information on costs and fees, please see the Firm’s [Brokerage Compensation and Conflicts Disclosure](#).

Conversation Starters. 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 providing recommendations? How else does your firm make money and what conflicts of interest do you have?

When we provide you with a recommendation, 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 and investment advice, we provide you. Here are some examples to help you understand what this means.

- **Margin and Loan Advance:** Registered Representatives/Foreign Associates (representatives) of the Firm receive additional compensation if you maintain a Margin or Loan Advance agreement, as a result of such representative referring you for these services. They will be compensated if certain securities in your account are used for, among other things, settling short sales and lending the securities for short sales, or if you have non-purpose loans. The additional compensation received by the Firm and/or our Representatives can potentially incentivize us to promote this service to you.
- **Rebates and/or Trailer Fees:** Certain products, such as mutual funds and ETPs, include continuing payments to us, known as “trails.” The payment of trailer fees creates an incentive to recommend to our clients these products as they provide additional compensation for ECSC and its representatives.
- **Financial Affiliations:** The Firm maintains common ownership with foreign affiliates, Asset Manager S.A. (AMSA), Capital Markets Argentina, Epic Latam S.A., as well as Epic Advisory Services Corp, an advisory firm in U.S. These affiliations may present an incentive since the related persons can recommend the services of the Firm. ECSC can receive research and reporting services from them, and shared supervised persons receive additional compensation.
- **Affiliated Products:** We offer exchange traded notes (ETNs) managed by AMSA, an affiliated advisory firm in Uruguay. When investing in these products, you will pay directly or indirectly AMSA for serving as the portfolio manager of these ETNs and ECSC/its representatives for execution when buying or selling these ETNs, in addition to other costs. The compensation received can potentially incentivize us to promote/recommend proprietary products to you over other non-affiliated products available.

Any conflicts of interest related to recommendations of other professionals will be disclosed to you in the event they should occur. We have policies and procedures to monitor the potential conflicts disclosed above.

For additional information on these conflicts, please see the Firm’s [Brokerage Compensation and Conflicts Disclosure](#).

Conversation Starters. 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?

ECSC’s Registered Representatives/Foreign Associates receive a percentage of the different types of compensation charged to retail investors depending on the security type you buy or sell. Representatives earn a percentage of the commissions, sales load, mark up/mark down charged as well as account maintenance fees collected. ECSC’s representatives can get increased compensation based on higher production. This represents a conflict of interest since the more commissions they generate, the more they earn. Certain products pay ongoing compensation (trailers), therefore our financial professionals are incentivized to recommend products that have higher fees and/or ongoing payments.

For more information on types of compensation, please see the Firm’s [Brokerage Compensation and Conflicts Disclosure](#).

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

Yes. We and our financial professional have legal or disciplinary history. Please visit investor.gov/CRS for a free and simple search tool to research ESCS and your financial professionals.

Conversation Starters. Ask your financial professional –

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

For additional information about our brokerage services or to request a copy of the relationship summary, please contact us at info@epicapitalfl.com. If you would like additional, up-to-date information or a copy of this disclosure, please call + 1 (561) 829 2173.

Conversation Starters. 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?