

BRADLEY WOODS & CO. LTD.
FORM CRS RELATIONSHIP SUMMARY

We are registered with the U.S. Securities and Exchange Commission (“SEC”) as a broker-dealer and also members of the Financial Industry Regulatory Authority (“FINRA”) and the Securities Investor Protection Corporation (“SIPC”). Bradley Woods provides brokerage services. Brokerage, investment advisory services, and fees differ; you need to understand the differences. Free and simple tools are available to research firms and financial professionals at 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?

Our brokerage services include buying and selling equity and fixed-income securities and soliciting investments in private placement transactions.

Bradley Woods primarily serves institutional and high-net-worth retail clients. Our main business line is to assist companies in raising capital through the sale of their securities and to offer those securities to our clients who are qualified according to the standards set forth by our regulators. We primarily offer clients access to private placements, registered securities, and other offerings. We also offer research that addresses government public policies as well as research that addresses specific securities issuers.

Once investors have invested in the securities we offer, Bradley Woods generally does not monitor the investments or recommend whether those investments should continue to be held or sold. We do not provide additional services to assist you in developing and executing your investment strategy and monitoring the performance of your account.

You may find further information at: <https://bradleywoods.com>

Questions to Ask

Given my financial situation, should I choose a 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? What do these qualifications mean?

What fees will I pay?

You will pay fees and incur costs whether you make or lose money on your investments. Fees and expenses will reduce any money you make on your investments over time. Please make sure you understand what fees and expenses you are incurring.

The fees you pay are based on the specific transaction and not on the value of your account.

With stocks or exchange-traded funds, the fee is usually a separate commission. With other investments, such as bonds, this fee may be part of the price you pay for the investment (called a markup or mark-down). With private placements, the fee is usually a separate commission. The Firm does not charge a fee for the research provided to clients.

We typically charge three types of fees: commissions on purchases of equity securities, markups on fixed-income securities, and placement fees for Private Placements. Our fees for the first two categories of securities range from one percent to a maximum of five percent of the principal invested. For the third category of securities, Private Placements, our fees typically range from a low of two percent to a high of eight percent.

Questions to ask:

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 may create conflicts with your interests. You should understand and ask us about these conflicts because they can affect our recommendations. Here are some examples to help you understand what this means:

We can make extra money by selling you certain investments either because they are managed by someone related to our Firm or because they are offered by companies that pay our Firm to sell their investments. Your financial professional may also receive more compensation if you buy these investments.

Questions to ask:

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

How do your financial professionals make money?

Financial professionals at Bradley Woods receive cash compensation based on the commissions earned on transactions conducted for clients. Compensation for financial professionals may differ depending on the type of security product bought or sold on behalf of clients.

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

Yes. Visit www.investor.gov/CRS for a free and simple search tool to research us and our financial professionals. For additional information about our brokers and services, visit <https://brokercheck.finra.org/firm/summary/13660> or <https://bradleywoods.com>.

Questions to ask:

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

Additional Information

You may find additional information about our brokerage services at our website, <https://bradleywoods.com>. Our current CRS is at <https://bradleywoods.com>. For up-to-date information and to request a copy of this Relationship Summary, please call: (212) 826-9191.

Questions to ask:

Who is the primary contact person for my account? Is the person a registered representative of a broker-dealer? Who can I talk to if I have concerns about how this person treats me?

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