

# CDS1 Securities LLC Client Relationship Summary (“CRS”)

Effective September 1, 2024

## Item 1: Introduction

CDS1 Securities LLC (“CDS1” or the “Firm”) is registered with the Securities and Exchange Commission (“SEC”) as a broker-dealer. CDS1 is also a member of the Financial Industry Regulatory Authority (“FINRA”). Brokerage and investment advisory services and fees differ, and it is important for you to understand the differences. 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 <https://brokercheck.finra.org/>

## Item 2: Relationships and Services

### What investment services and advice can you provide me?

CDS1 offers brokerage services to retail investors. Our primary business is providing retail customers with brokerage accounts where they can place orders to buy and sell stocks and exchange-traded funds (“ETFs”). We offer small-, mid-, and large-cap equity stocks and ETFs. CDS1’s typical customer is a client of a depository institution, who provides its clients with access to CDS1’s brokerage offering. All securities offered by CDS1 are recommended to customers by AdvisiFi LLC, an SEC-registered investment adviser.

CDS1 is an introducing broker-dealer, which means funds and securities are held by a third-party custodian and clearing firm, RQD\* Clearing, LLC (“RQD”). RQD is responsible for servicing customer accounts by executing, clearing, and settling trades, preparing and distributing account statements and trade confirmations. All securities recommended or available for trading on our platform, are supported by RQD.

CDS1 does not:

- Provide recommendations or solicit transactions;
- Have brokerage account minimums;
- Provide account or investment monitoring services; or
- Limit its securities offering to proprietary investment products.

For additional information, please contact CDS1 at [support@cdsecurities.co](mailto:support@cdsecurities.co)

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

### What fees will I pay?

#### 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?*

We do not charge commissions on trades. However, you may incur charges imposed by RQD and other third parties. These include transfer fees, administrative fees and other fees and taxes on brokerage accounts and securities transactions. These fees and costs will reduce any amount of money you make on your investments over time. If you choose to use additional services, such as wire transfers or ACATS, those services are charged at the then prevailing rate.

**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 STARTERS.** Ask your financial professional these questions to learn more:

- *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?*

See responses to these conversation starters [here](#)

***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?***

*We do not provide recommendations; at the same time, the way we make money may create some conflicts with your interests. You should understand and ask us about these conflicts because they can affect the services we provide you. For example, the Firm may receive payment for order flow or other compensation derived from customer trading activities, which could be perceived as a conflict of interest.*

Payments and compensation arrangements to the Firm often reduce or eliminate additional pass-thru executions charges to our customers. Any reductions in fees or costs will benefit customers' long-term rate of return. For further information concerning potential conflicts of interest or any concerns about any representative of the Firm, please contact Richard Brewster, Director of Compliance at 646-389-4240.

#### **CONVERSATION STARTER**

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

***How do your financial professionals make money?***

Our financial professionals are paid an annual salary. Financial professionals do not receive commissions or other compensation related to customer assets or customers investment activities, or specific products.

If there are questions or issues with a customer account contact: [support@cdsecurities.co](mailto:support@cdsecurities.co), or call 646-389-4240. Emails and all calls will be answered by FINRA registered individuals.

#### **Item 4: Disciplinary History**

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

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No. our financial professionals do not have any legal or disciplinary history. You can visit FINRA broker check ([www.finrabrokercheck](http://www.finrabrokercheck)) for a free and simple search tool to research our firm and financial professionals' regulatory history.

#### **CONVERSATION STARTER**

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

#### **Item 5: Additional Information**

**For additional information** about CDS1 Securities LLC, or to request a copy of this relationship summary please contact the Firm at [support@cdsecurities.co](mailto:support@cdsecurities.co). You may also call 646-389-4240 to request up to date information or a copy of this relationship summary.

#### **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?*