

Prosperum Securities, LLC dba Avant-Garde Trading Securities (AGTS) 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 Investor Protection Corporation (SIPC). AGTS was approved by FINRA in 2018 as a member and executed its first trade in 2022.

We are required to share this summary to help you understand the services AGTS provides, allowing you to make more informed decisions. Please do not hesitate to call us at 312-858-5748 with any questions. Free and simple tools are available to research firms and financial professionals at the following sites:

<https://www.investor.gov/CRS>

<https://brokercheck.finra.org/>

What investment services and advice can you provide me?

Description of Services: AGTS offers brokerage services to retail investors looking to purchase and/or sell securities such as Equities, ETFs, Mutual Funds, as well as other securities and investment strategies such as trading on Margin and/or trading Options. Our primary role is to provide access to these markets for our customers via our online trading platform.

AGTS acts as an introducing broker-dealer. AGTS has contracted with Apex Clearing Corporation to provide Clearing and Custody Services. Apex Clearing Corporation will provide custody services for all Securities and Cash Deposits for your AGTS Account.

AGTS does provide an auto-execution service for customers that have subscribed to an investment newsletter service or trading program. This service allows AGTS to execute trade ideas submitted from the customer's service automatically based on the instructions provided by the customer. We offer these services through a Letter of Direction (LOD) where the customer instructs us in detail how much of their capital to commit to these trade ideas generated by their specific newsletter service. For more information on this service please request a copy of our LOD for review.

AGTS does not provide investment advice, asset allocation guidance, nor monitors customer account performance to evaluate said performance and investments are consistent with the customer's investment objectives, risk tolerance, and goals.

What fees will I pay?

Self-Directed customers who sign up for our Membership Rewards program will pay no commissions on equity and option trades, however there is a \$0.65 per contract fee for options. Other fees will apply, please go to www.tradeagt.com/fees to learn more. Those customers that do not sign up for our

Membership Rewards program will pay commissions in addition to the \$0.65 cents per contract along with additional fees. Please go to www.tradeagt.com/fees to review these.

Customers who wish to execute an auto-trading program via our LOD will pay commissions and fees for execution services. The following schedule at www.tradeagt.com/fees details the fee levels for Membership Rewards program members and ones who are not.

In addition to commissions and fees paid for trades customers will pay margin interest on funds borrowed to purchase securities. Go to our fee schedule at www.tradeagt.com/fees for this schedule. Other customer fees could apply to the following items:

- Wiring money from your brokerage account to your bank
- Requesting an outgoing check for funds from your brokerage account
- Requesting Paper Statements and/or Trade Confirmations from your brokerage account
- "Locate Fees" when borrowing shares to sell short

Other additional fees for other services could also apply, please go to www.tradeagt.com/fees to see a full list of potential fees. You can also call us to discuss fees that could apply by calling 312-858-5748.

What are your legal obligations to me when providing Investment Recommendations?

AGTS does not provide recommendations for investments in specific securities, asset allocations, or other types of advisory services. We do provide guidance on execution of specific securities and in that capacity we are required to act in your best interests and insure that the order you are placing reflects your specifications.

How else does your firm make money and are there any conflicts of interest?

AGTS generates additional revenue from other activities in which it engages in. Here's a brief list of some of those activities:

- Payment for Order Flow. AGTS does receive payments/rebates for the routing of your orders to third-party market centers and therefore has a revenue incentive for you to trade more. However, we route our orders through our clearing firm, Apex Clearing Corporation, and have no involvement in selecting which third-party market center ultimately receives your order. For more information on this please read our Rule 606 disclosures on order routing or by contacting us at 312-858-5748.
- Interest from Margin Loans and Uninvested Cash. AGTS earns part of the interest that is charged to accounts that borrow money on margin to purchase securities. We also can earn part of the interest earned by our clearing firm on uninvested cash balances in customer brokerage accounts. For more information on these items please call us at 312-858-5748.

How do your financial professionals make money?

AGTS's professionals fall in to two categories:

- Self-Directed Customer Support and Operations
- LOD Customer Support and Sales

Self-Directed professionals are paid a base salary along with an annual bonus. These salaries and bonuses are based on their overall role they play within the firm, previous experience in said role, and overall job performance.

LOD professionals are paid a percentage of the revenue generated from the LOD business post expenses for operating the LOD business. These percentages are based on their overall role in that business, tenure within that line of business, and overall job performance.

How can I see if any of your firm's professionals have any legal or disciplinary history?

You can visit www.investor.gov/CRS for an easy and free guide to research our firm and any of our professionals. You can also go to <https://brokercheck.FINRA.org> to conduct research for additional information. You can look up AGTS at brokercheck with our CRD #, 292119, or on investor.gov with our SEC# 8-70068.