



Client Relationship Summary (Form CRS) – October 2023

Optionality Securities, LLC (“Optionality” or the “Firm”) is registered with the Securities and Exchange Commission (SEC) as a broker-dealer and is a member of the Financial Industry Regulatory Authority (FINRA). Brokerage and investment advisory services and their fees differ and it is important that you understand the differences. Free and simple tools are available to you to research firms and financial professionals at <https://www.investor.gov/CRS>, which also provides educational materials about broker-dealers and investment advisors.

What investment services and advice can you provide me?

We provide brokerage services to retail investors, which include the buying and selling of securities and investment products. While the Firm does not offer investment recommendations, the Firm has entered an Interface Agreement (“IA”) with Flip Investor, Inc. (“FII”), a software for services company that generates various portfolio allocation signals for subscribers to be in cash and/or certain securities such as exchange traded funds. Firm clients should read the IA to understand the relationship and respective services provided by the Firm and FII. Clients’ decision to subscribe to FII’s software is at their sole election.

As clients’ investments are deemed self-directed, the Firm does not monitor clients’ investments. There is no minimum amount required to open an account.

Through our clearing firm we will provide you with your trade confirmations, account statements and trading history daily, quarterly or monthly as is appropriate. These documents are all available through the iFlip application provided by FII, and can be accessed whenever you wish to review them.

We encourage all clients to ask us or any of our licensed persons these questions:

- o Given my financial situation, should I choose a brokerage service? Why or why not?*
- o What is your relevant experience, including your licenses, education, and other qualifications? What do these qualifications mean?*

What fees will I pay?

We do not charge commissions or transaction fees. We make money from other brokers paying us a fee when they execute client orders. We also earn a small percentage of the interest on client cash balances held at our Firm through our clearing firm. Should we opt to start charging you commissions or transaction fees, we will provide you at least 60 days advance notice of such charge policy. In the event we charge commissions and transaction fees, you will pay these charges whether you make money 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 regarding fees and cost of your account, visit the fee schedule here:
<https://iflipinvest.com/pricing/>

Get the ball rolling with these questions:

- o Can you help me understand how these fees and costs, might affect my investments?*
- o 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?

We **do not** provide recommendations. We make money from other brokers paying us a fee when they execute our clients' orders. Because we get paid when you complete a transaction, we could have an incentive to encourage you to trade more frequently. Additionally, we disclose that Randy Tate is an indirect owner of our Firm. However, Mr. Tate's ownership is passive as he has agreed to not act in any capacity that effects the day-to-day operations of the Firm as a registered broker-dealer. Accordingly, he does not possess any securities licenses that allow him to interact with Firm clients. Mr. Tate is a founder and the President of FII and does direct the latter's day-to-day operations as a software for services company. As previously mentioned, the Firm and FII are parties to an Interface Agreement that allows clients who are subscribers to FII's software that generates portfolio trading signals to automatically enter orders based on those signals to the Firm so long as such FII subscribers are also Firm clients.

We encourage clients to ask these further questions:

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

How do your Financial Professionals make their money?

Our financial professionals are paid a salary, and potentially a bonus based on the Firm's overall results. Our financial professionals **do not** earn any incentive-based compensation tied to the trading or investments of our clients.

Do you or your Financial Professionals have legal or disciplinary history?

None of our Professionals have legal or disciplinary histories. Visit www.investor.gov/CRS for a free and simple search tool to research us and our financial professionals.

Lastly, clients should consider asking these questions.

- o Who is my primary contact person?*
- o Is he/she a representative of an investment adviser or a broker-dealer or both?*
- o Who can I talk to if I have concerns about how this person is treating me?*

Contact Info

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