

SEAPORT SECURITIES CORPORATION**CUSTOMER RELATIONSHIP SUMMARY***Effective as of March 1, 2022*

Seaport Securities Corp. ("Seaport") is a registered broker-dealer with the U.S. Securities and Exchange Commission and is a member of FINRA and SIPC. Brokerage and investment advisory services and fees differ, and it is important for you to understand these differences. Free and simple tools are available to research firms and financial professionals at [Investor.gov/CRS](https://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?

Seaport offers brokerage accounts and services for personal investing, including retail, and retirement (including Individual Retirement Accounts (IRAs)). These accounts generally allow you to invest in mutual funds, exchange-traded funds (ETFs), stocks, options and bonds.

We offer brokerage services to retail investors. Here is what we do or do not do:

- We do not recommend buying or selling securities.
- We execute transactions for you that you request. You make the ultimate decision regarding the purchase or sale of your investments. We do not offer discretionary accounts.
- We buy and sell securities, including stocks, bonds, options, money market funds, mutual funds, exchange-traded funds (ETFs), and other publicly traded securities investments.
- We do not monitor your account or your investments.
- We do not offer products that are proprietary to our firm; we do not offer access to IPO's.
- We do not impose a minimum account size or a minimum investment amount, but we do charge a minimum commission on each trade executed by you and we charge annual fees for certain accounts. See [Fee and Margin Interest Tables | Seaport Securities](#) for more information.

Seaport brokerage accounts are also available to you when you work with a third-party adviser such as a registered investment adviser, retirement plan administrator, bank or family office ("intermediaries"). If you open your Seaport brokerage account through an intermediary, you or your intermediary will make all decisions regarding the purchase or sale of investments; Seaport generally will not provide recommendations or monitor your investment decisions, or your intermediary, for you. Some intermediaries limit the investment services and products that they offer to you from the universe of investments that Seaport offers. Please contact us or your intermediary for more information on the services provided, conflicts of interest, and any fees you will pay.

| | |
|------------------------------|---|
| Additional Information: | Please visit our website (www.seaportsecurities.com) for more detailed information about our broker-dealer products and services. |
| <i>Conversation Starter:</i> | Ask our financial professional these questions to learn more. <i>Given my financial situation, should I choose a brokerage service? Why or why not? Ask our financial professional these questions to learn more. What is your relevant experience, including your licenses, education, and other qualifications? What do these qualifications mean?</i> |

What fees will I pay?

You will pay a commission or sales charge when you buy or sell securities. Our firm earns more when there is more trading in your account and may therefore have an incentive to encourage you to trade often. In addition, you may incur other fees and costs related to the investments in your account, such as custodian fees, inactivity and paper statement fees, margin interest fees, wire transfer fees, fees related to mutual funds such as fund management fees, 12b-1 distribution fees and other product related fees, such as redemption fees. 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. You should carefully review our Commission Schedule to understand the ranges of fees and costs you will pay.

| | |
|-------------------------|---|
| Additional Information: | You will pay any applicable 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 Starter: | • <i>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?</i> |

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. 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 services we provide you. Here are some examples to help you understand what this means. Our firm earns more when there is more trading in your account and may therefore have an incentive to encourage you to trade often. For additional information, please visit <http://www.seaportsecurities.com>.

| | |
|-------------------------|---|
| Additional Information: | We mitigate potential conflicts of interest by not providing recommendations as to what investment products to purchase, sell or hold. We prohibit our employees from recommending investments or providing investment, financial, legal or tax advice to retail investors. |
| Conversation Starter: | • <i>How might your conflicts of interest affect me, and how will you address them?</i> |

How do your financial professionals make money?

We do not employ registered representatives that maintain direct relationships with specific retail investors. Our financial professionals receive salaried compensation or other structured compensation that is not based on the performance of retail investor accounts.

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

No. Visit Investor.gov/CRS for a free and simple search tool to research us and our financial professionals. For additional information on Seaport or to request a copy of this relationship summary please visit <https://www.seaportsecurities.com>. You may also call 1-800-SEAPORT / 212-482-8689, or email info@seaportsecurities.com to request up to date information or a copy of this relationship summary.

| | |
|-------------------------|---|
| Additional Information: | We are a broker-dealer rather than an investment advisory firm. We do not assign registered representatives to manage client accounts. If you have any concerns regarding the service that you receive, you can contact us at by email at info@seaportsecurities.com or call us at 212.482.8689 |
| Conversation Starter: | • <i>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?</i> |