SEAPORT SECURITIES CORPORATION

Client Relationship Summary (Form CRS)

Date: **November 3, 2026**

Introduction

Seaport Securities Corporation ("Seaport," "we," "our," or "us") is registered with the U.S. Securities and Exchange Commission (SEC) as both a broker-dealer and an investment adviser, and is a member of FINRA, the New York Stock Exchange 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, which also provides educational materials about broker-dealers, investment advisers, and investing.

What investment services and advice can you provide me?

We offer both brokerage services and investment advisory services to retail investors, including individual and retirement accounts (IRAs). The two relationships are different:

Brokerage Accounts	Investment Advisory Accounts
Services. We buy and sell securities you direct us to buy and sell — stocks, bonds, options, mutual funds, money market funds and ETFs. **We do not make recommendations to brokerage customers** and we do not provide investment, financial, legal or tax advice in a brokerage account.	**Services.** We provide portfolio management — ongoing investment advice and management of the securities in your account under a written Investment Advisory Agreement. **We do not provide financial planning services** and we do not sponsor or participate in wrap fee programs.
Monitoring. We do not monitor your brokerage account or your investments.	**Monitoring.** We review and monitor your account on an ongoing basis, and no less frequently than quarterly, as part of our standard advisory services.
Investment authority. You make the ultimate decision to buy or sell any investment. We do not offer discretionary brokerage accounts.	**Investment authority.** You choose discretionary or non-discretionary management in your agreement. If you grant us discretion, we may buy and sell investments in your account without asking you in advance, consistent with your stated objectives and any written restrictions you place on the account; that authority continues until you or we terminate it. In a non-discretionary account, you make the ultimate decision and we place a trade only after you approve it.
Investment offerings. We do not offer products that are proprietary to our firm and we do not offer access to initial public offerings.	**Investment offerings.** We do not offer proprietary products and we do not limit our advice to a limited menu of investments or investment types.
Account minimums. None to open or maintain an account, but we charge a minimum commission on each trade and charge annual fees on certain accounts.	**Account minimums.** None to open or maintain an advisory account.

Seaport brokerage accounts are also available to you if you work with a third-party intermediary, such as another registered investment adviser, a retirement plan administrator, a bank or a family office. If you open your account through an intermediary, you or your intermediary make all investment decisions, and we do not monitor those decisions or the intermediary for you. Some intermediaries limit the investments they make available to you. Ask us or your intermediary about the services, conflicts and fees involved.

For more information: See Items 4 and 7 of our Form ADV Part 2A brochure at **adviserinfo.sec.gov** (CRD #8330), and our brokerage services at **www.seaportsecurities.com**.

Conversation Starters. *Ask our financial professionals these questions:*

- ***Given my financial situation, should I choose an investment advisory service? Should I choose a brokerage service? Should I choose both types of services? 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?

Brokerage Accounts	Investment Advisory Accounts
You pay a commission or sales charge each time you buy or sell a security, subject to a minimum commission per trade. We earn more when there is more trading in your account, so we have an incentive to encourage you to trade often. Certain accounts also pay an annual account fee.	You pay an ongoing asset-based fee, calculated as a percentage of the assets we manage for you. The rate is based on your total account value and applies to the entire account: **1.00% for accounts up to $1,000,000; 0.75% for accounts over $1,000,000 up to $5,000,000; and 0.50% for accounts over $5,000,000.** Fees are negotiable. We bill in advance each calendar quarter based on your account value on the last business day of the prior quarter. We send an invoice to our qualified custodian, National Financial Services LLC (NFS), which deducts the fee from your account and pays it to us; we cannot withdraw it ourselves. If you terminate mid-quarter, we refund the unearned, prepaid portion. Because our fee is based on the value of your account, **the more assets in your advisory account, the more you pay us**, so we have an incentive to encourage you to increase the assets in your account.

Other fees and costs

For both types of accounts you may also pay fees charged by others, including custodial and annual account fees (including on IRAs), check-writing and wire transfer fees, inactivity and paper statement fees, margin interest, and fees embedded in mutual funds and ETFs such as management fees, 12b-1 distribution fees and redemption fees. For advisory accounts, you also pay a transaction ("ticket") charge on each trade, which varies by type of security and which we pass through to you at cost from our clearing firm, NFS.

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.

For more information: See Item 5 of our Form ADV Part 2A brochure at adviserinfo.sec.gov, and our brokerage Fee and Margin Interest Tables at www.seaportsecurities.com/rate-info/fee-margin-interest-tables.

Conversation Starters. *Ask our financial professionals these questions:*

- ***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 as my broker-dealer or when acting as my investment adviser? How else does your firm make money and what conflicts of interest do you have?

We do not provide recommendations as your broker-dealer. When we act as your investment adviser, we have to act in your best interest and not put our interests ahead of yours. At the same time, the way we make money creates some conflicts with your interest. You should understand and ask us about these conflicts because they can affect the services and investment advice we provide you. Here are some examples to help you understand what this means.

- **Choice of account type.** We are paid differently in a brokerage account (per trade) than in an advisory account (a percentage of assets). We therefore have an incentive to recommend the type of account that pays us more, rather than the type of account that is best for you — including when we propose moving an existing brokerage account, or a retirement account, into an advisory relationship.
- **Payments from third parties.** We are paid cash compensation by third-party advisers when we refer a client to them. This gives us an incentive to refer you to an adviser that pays us rather than the one best suited to you.
- **Required use of NFS.** Advisory clients must custody their assets at NFS and we execute advisory transactions through NFS, which also clears our brokerage business. We do not seek competing bids from other custodians or broker-dealers, so you may pay more or receive less favorable execution than might be available elsewhere.

- **Third-party payments, proprietary products and principal trading.** We do not offer proprietary products. In brokerage accounts, we may receive 12b-1 fees from money market funds that hold your cash, which gives us an incentive to use those funds. We do not receive 12b-1 fees from money market funds in advisory accounts. We do not buy securities from you or sell securities to you from our own account (principal or riskless-principal trading).

For more information: See Items 5, 10, 11, 12 and 14 of our Form ADV Part 2A brochure at **adviserinfo.sec.gov**.

Conversation Starters. *Ask our financial professionals these questions:*

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

How do your financial professionals make money?

Our Chief Executive Officer, who is our only investment adviser representative, also owns the firm and benefits from all of the revenue the firm earns, including advisory fees, brokerage commissions and referral fees. He does not receive a salary or bonus, and his compensation does not differ depending on whether your account is a brokerage account or an advisory account.

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

Yes. Visit Investor.gov/CRS for a free and simple search tool to research us and our financial professionals.

Conversation Starters. *Ask our financial professionals these questions:*

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

Additional Information

For additional information about our brokerage services and our investment advisory services, visit **www.seaportsecurities.com** or see our Form ADV Part 2A brochure at **adviserinfo.sec.gov**. To request up-to-date information or a free copy of this relationship summary, call us at **212.482.8689** or email **info@seaportsecurities.com**.

Conversation Starters. *Ask our financial professionals these questions:*

- ***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?***

EXHIBIT — SUMMARY OF MATERIAL CHANGES

This relationship summary, dated November 3, 2026, amends and restates Seaport's relationship summary dated March 1, 2022. The material changes are:

- Seaport is now registered with the SEC as an investment adviser. This relationship summary now describes both our brokerage services and our investment advisory services, where the prior version described brokerage services only.
- We have added a description of our investment advisory services, including discretionary and non-discretionary portfolio management, ongoing account monitoring at least quarterly, and the absence of financial planning and wrap fee programs.
- We have added our advisory fee schedule, how the fee is calculated and billed in advance each quarter, how it is deducted by our custodian, and the pro-rata refund on termination.
- We have added the standard of conduct that applies when we act as your investment adviser, and new conflicts of interest relating to asset-based compensation, the choice between a brokerage and an advisory account, referral compensation from unaffiliated advisers, and the required use of NFS.
- We have added that we may receive 12b-1 fees from money market funds in brokerage accounts, and that we do not receive 12b-1 fees from money market funds in advisory accounts.
- We have updated how our financial professionals make money.
- We have updated our response regarding disciplinary history to “Yes”.
- We have added that we are a member of the New York Stock Exchange.