

Redbridge Securities LLC Form CRS (Customer Relationship Summary)

Introduction

Redbridge Securities LLC (“**Redbridge Securities**”) is a broker-dealer and provides brokerage accounts and services rather than advisory accounts and services. Brokerage and investment advisory services and fees differ, and it is important for you to understand these differences. This document gives you a summary of the types of services we provide and what fees may apply to you. 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 advisors, and investing. Please ask us for more information.

What investment services and advice can you provide me?

Redbridge Securities is an introducing broker-dealer and offers brokerage services in self-directed individual accounts through an app-based brokerage platform to retail investors (“**Platform**”). We offer U.S. listed equities and exchange traded funds (ETFs). We do not recommend any investment products or trading strategies and will not monitor your investments for suitability. You are solely responsible for determining whether any investment, investment strategy, security or related transaction is appropriate for you based on your personal investment objectives, financial circumstances, and risk tolerance. We offer access to investment tools and education to help you make investment decisions, but it is for informational and educational purposes only.

Your cash and securities, in connection with your securities transactions, will be custodied by Apex Clearing Corporation. If you open a brokerage account, you will pay **no transaction fees**, generally referred to as a commission, **for U.S. listed equities and ETFs** every time you buy or sell an investment. You may select investments and the ultimate investment decision as to your investment strategy and the purchase or sale of investments will be yours. We can offer you additional services to assist you in developing and executing your investment strategy and monitoring the performance of your account but you might pay more. We will deliver account statements to you each quarter in paper or electronically. We offer a limited selection of investments (U.S. equities and options). Other firms could offer a wider range of choices, some of which might have lower costs. If you are a non-U.S. person, when you open a brokerage account, you will also be required to open an account with Redbridge Finance LLC (“**Redbridge Finance**”). Uninvested cash held through the Platform will be transferred to your Redbridge Finance account, providing you eligibility to receive pass-through FDIC insurance coverage. Additional information regarding your Redbridge Finance account and how your funds will be treated is provided in the Redbridge Finance customer agreement, which governs your relationship with Redbridge Finance. The Redbridge Finance customer agreement is available at www.bbae.com/legal.

Conversation Starters:

- 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?

What fees will I pay?

Fees and costs affect the value of your account over time. Please ask your financial professional to give you personalized information on the fees and costs that you will pay. Redbridge Securities does not charge a commission for U.S. listed equities and ETFs; however, other transactions through your brokerage account may be subject to commissions and fees. Any fee you pay is based on the specific transaction and not the value of your account. We may charge you additional fees, such as data fees, account maintenance fees, processing fees, margin interest fees, stock borrow fees, and wire fees per our published fee schedule. 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. The more transactions in your account, the more fees we charge you. We therefore have an incentive to encourage you to engage in transactions. For a full list of all fees, please visit [Commission and Fee Schedule](#). Please note, fees may change without notice and any changes will be reflected in the Fee Schedule.

Conversation Starters:

- 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? How else does your firm make money and what conflicts of interest do you have?

We must abide by certain laws and regulations in our interactions with you. We must act in your best interest and not place our interests ahead of yours when we recommend an investment or an investment strategy involving securities. **Redbridge Securities does not recommend securities or provide investment advice.** When we provide any service to you, we must treat you fairly and comply with a number of specific obligations. Unless we agree otherwise, we are not required to monitor your portfolio or investments on an ongoing basis. Our interests can conflict with your interests, and we must eliminate these conflicts or tell you about them and in some cases reduce them.

The way we make money may conflict your interests. You should understand and ask about these conflicts because they may affect the services we provide to you. Redbridge Securities will receive compensation in the form of credit interest, payment for order flow, or other forms of compensation. We have an incentive to offer certain investments, such as Initial Public Offerings (IPOs), because the manager or sponsor of those investments shares with us revenue it earns on those investments.

You may also open an advisory account through the Platform with our affiliate, BBAE Advisors LLC (“**BBAE**”). If you open an advisory account, you will pay an on-going asset-based fee each month for BBAE’s services, based on the value of the cash and investments in connection with your advisory account. In addition, when you open a brokerage account, if you are a non-U.S. resident, you understand that you are required to open a Redbridge Finance account (your “**Redbridge Finance Account**”). If you are a non-U.S. resident, uninvested cash balances will be transferred to your Redbridge Finance Account and held in one or more omnibus accounts maintained by one or more FDIC member banks in the name of Redbridge Finance LLC for your benefit (each a “**Program Account**”). Redbridge Finance earns revenue on the difference (i.e., the spread) between the rate at which interest is earned on your funds held in one or more Program Accounts and interest payments made to you, if any. As a result of the above, we have an incentive for you to maintain an advisory account with BBAE as well as maintain your funds in your Redbridge Finance Account. Redbridge Finance, BBAE, and Redbridge Securities are wholly owned subsidiaries of BBAE Holdings LLC.

Conversation Starters:

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

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

Yes, one representative has a disclosable legal history. Redbridge Securities maintains that the disclosed information is not considered a significant conflict of interest and does not compromise the firm's ability to provide brokerage services with the highest level of integrity. We encourage you to visit investor.gov/crs for a free and simple search tool to research our firm and our financial professionals.

Conversation Starters:

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

Additional Information

We encourage you to seek additional information. For additional information about our brokers and services, visit investor.gov/crs, BrokerCheck (BrokerCheck.Finra.org), our website (bbae.com), and your account agreement. To report a problem to the SEC, visit Investor.gov or call the SEC’s toll-free investor assistance line at (800) 732-0330. To report a problem to FINRA, visit www.finra.org or call 301-590-6500. If you have a problem with your investments, account or financial professional, contact us in writing at support@rbsecurities.com.

Conversation Starters:

- What is your relevant experience, including your licenses, education, and other qualifications? What do these qualifications mean?
- 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?