

# Form CRS

Egret Securities LLC  
October 2025

## INTRODUCTION

Egret Securities LLC (“Egret”, “we” 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”) and the Securities Investor Protection Corporation (“SIPC”).

This Customer Relationship Summary (“CRS”) provides essential information about our brokerage services, fees, and other key details to help you make informed decisions about your investments. Free and simple tools are available to research firms and financial professionals at [www.investor.gov/CRS](http://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?

We offer brokerage services on an unsolicited basis to retail investors, including buying and selling securities. This means that orders are executed based on your ideas without offering investment advice or making investment recommendations.

As an introducing broker, Egret does not hold customer funds or securities. All customer accounts are carried by our clearing firm(s), which provide trade execution, settlement, custody, and related back-office services.

We provide our clients with brokerage tools, infrastructure and support, including:

- Trading solutions for equities, options, and fixed income products.
- Trade aggregation and reporting across multiple executing brokers
- Securities lending and margin financing

We may receive compensation from our clearing firm(s) for client activity, consistent with applicable regulatory requirements. Clients should review the Customer Account Agreement for detailed information on the clearing relationship, margin terms, and risk disclosures.

We do not offer discretionary accounts. We do not require a minimum investment to open an account, but eligibility requirements may apply. We do not provide investment monitoring services. You retain full control over your investment strategy and the purchase or sale of investments in your account.

For additional information, please see the Firm's disclosures at <https://www.egretsecurities.com/disclosures/>.

**Conversation Starters.** Ask your financial professional-

- Given my financial situation, should I choose a self-directed brokerage service? Why or why not?
- What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?
- Are there any conflicts of interest with the Registered Representative?

## WHAT FEES WILL I PAY?

Egret’s fees are based on the types of services we provide. Generally, for brokerage services you will pay transaction-based fees for each transaction. These fees will include a commission based on the value of the transaction, or a flat fee per transaction. For some transactions, particularly fixed income securities, you will be charged a markup on purchases or a markdown on sales. Additional charges you may incur include margin interest, account maintenance fees, ticket charges, termination fees, transfer or liquidation fees, postage and handling fees and legal transfer fees. In addition, some investments, such as mutual funds and variable insurance products, impose additional fees that will reduce the value of your investments over time. Those fees may include mutual fund or insurance sub-account expenses and surrender charges. The specific commissions, markups and fees for transactions are contained in the transaction confirmations or product prospectus.

**Additional Information:** You will pay fees and costs whether you make or lose money on your investments. They will reduce the amount of money you make over time. Please make sure you understand what fees and costs you are paying. For more detailed information about our fees and costs, please see the Firm's disclosures at <https://www.egretsecurities.com/disclosures/>

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Conversation Starters. Ask your financial professional:

- Help me understand how these fees and costs might affect my investments.

## 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 you with recommendations. At the same time, 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 products we provide you.

Here are some examples to help you understand what this means.

We may receive payments from third-parties based on the purchase or sale of certain investments such as mutual funds, ETFs or alternative investments, which fees may include ongoing payments (such as 12b-1 fees for mutual funds). We may also have revenue sharing agreements, in which a manager or sponsor of certain investments shares the revenue it earns on those investments with us, or in which revenue is shared with respect to transactions that are referred either by or to us for execution. We may also receive revenue sharing payments from our clearing firms, National Financial Services LLC (NFS) and Mirae Asset Securities (USA), with respect to certain activity in clients' accounts. The Firm may also receive rebates from routing your orders to specific exchanges or liquidity providers. In some cases, the credits offered by a market center may exceed the credits being offered back to the client and the charges assessed may be less than the charges being billed back to the client. These arrangements give the Firm a financial incentive to route orders to venues that provide such arrangements. If you purchase investments in companies with which we maintain an investment banking relationship as advisor, agent or underwriter, we may receive additional compensation based on our investment banking relationship as described in the prospectus, offering memorandum or other disclosure documents.

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Conversation Starters. Ask your financial professional-

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

## HOW DO YOUR FINANCIAL PROFESSIONALS MAKE MONEY?

In general, our Registered Representatives DO NOT receive transaction-based compensation with the exception of certain sales professionals. In addition, they may also receive salaries, and/or compensation for the referral of investment banking or other business, or ownership interest in our parent company. In addition, some Registered Representatives may receive increased incentive compensation based upon the amount of transaction-based revenue they have generated. Some of our Registered Representatives' compensation is not based on the amount of client assets or the amount of time devoted to client service. In addition, they are compensated differently based on the product type that is sold. For example, some Registered Representatives may receive a sales credit for the sale of a particular product, which incentivizes them to sell that product.

## DO YOU OR YOUR FINANCIAL PROFESSIONALS HAVE LEGAL OR DISCIPLINARY HISTORY?

No. Visit [www.investor.gov/CRS](http://www.investor.gov/CRS) for a free and simple search tool to research us and our financial professionals.

Conversation Starters. Ask your financial professional-

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

## ADDITIONAL INFORMATION

For additional information, please see the Firm's disclosures at <https://www.egretsecurities.com/disclosures/>. If you would like additional, up-to-date information or a copy of this disclosure, please call (561) 468-4040.

Conversation Starters. Ask your financial professional-

- 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?