

# FORM CRS

October 31, 2022 | Mondeum Capital, LLC

Mondeum Capital, LLC 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").

Brokerage and investment advisory services and fees differ, and it is important for you to understand the 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?

We offer the following brokerage services to retail investors: Buying and Selling of Equities and Options.

We offer non-proprietary trading platforms for which investors can conduct self-directed trading through our "Mondeum Pro" offering. Investors can create their own custom trading and investment strategies. The platforms allow investors to test and monitor the activity in their accounts. While prices vary among the trading platforms, all such costs are passed along to the investor.

**Monitoring:** We do not provide you with investment monitoring services.

**Investment Authority:** We do not make recommendations regarding securities, investment strategies, or account types, nor do we accept authorization from you to trade the account.

**Investment Offerings:** Our investment offerings are limited to equities and options.

**Account Minimums & Requirements:** We require a minimum initial funding level of \$25,000 to open an account. All accounts opened above \$25,000 are deemed margin day trading accounts and are subject to applicable margin maintenance requirements. Our clearing firm must approve your margin account application.

## KEY QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL

- *Given my financial situation, should I choose a brokerage service? Why or Why Not?*
- *How will you choose investments to recommend me?*
- *What is your relevant experience, including your licenses, education, and other qualifications? What do these qualifications mean?*

## WHAT FEES WILL I PAY?

We charge commissions for trades on a transaction basis, that varies based on the volume of shares you trade. In addition, you are responsible for platform fees, market data fees, trading fees, routing fees, margin interest rates, and various account maintenance fees. These fees will vary based on the volume of your trading activity, the type of trading you engage in, the data package you choose, and whether you engage in short selling. Margin and day trading allow you to leverage assets to increase your buying power. Margin interest rates vary per the base rate and debit size of your balance. The base rate may be adjusted at the Firm's discretion.

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.

## KEY QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL

- *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? 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 investment advice we provide you. Here are some examples to help you understand what this means:

As a self-directed retail investor, you will be charged a commission on a transaction basis. The more you trade the more the Firm will be compensated. Therefore, the Firm may have an incentive to encourage you to trade more often.

The Firm may receive remuneration for directing orders to a particular exchange or broker-dealer and may route orders to market centers and liquidity sources that may offer credits for certain types of orders while assessing fees for other types of orders. In some cases, the credits offered by a market center may exceed the credits being offered back to you and the charges assessed may be less than the charges being billed back to you. Such remuneration is considered compensation to the Firm and may constitute payment for order flow. The Firm may also use exchanges, broker-dealers or other market centers to route orders on their behalf, including Direct Market Access orders. These arrangements give the Firm a financial incentive to route orders to venues that provide such arrangements.

### KEY QUESTIONS TO 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?

Our financial professionals are compensated in cash through salary and bonus. Bonuses are discretionary and reflect the overall success of the firm and the individual's professional ability or their contribution to the growth of the Firm's business. Compensation paid to financial professionals involves a conflict of interest because they have an indirect financial incentive to refer clients to the Firm.

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

No. Visit [BrokerCheck.FINRA.org](https://www.brokercheck.finra.org) and [Investor.gov/CRS](https://www.investor.gov/crs) for free and simple research tools to learn more about our Firm and financial professionals.

### KEY QUESTIONS TO ASK YOUR FINANCIAL PROFESSIONAL

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

## WHERE CAN I FIND ADDITIONAL INFORMATION?

For additional information about our Firm visit our website ([mondeumcapital.com](https://mondeumcapital.com)), [BrokerCheck.FINRA.org](https://www.brokercheck.finra.org), and [Investor.gov](https://www.investor.gov). You can request a copy of this relationship summary by contacting us by phone at 1-833-781-6338 or by emailing us at [info@mondeumcapital.com](mailto:info@mondeumcapital.com).

### KEY QUESTIONS TO 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?*