

Client Relationship Summary (CRS)

York Securities 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. This Client Relationship Summary provides details about our brokerage services, fees, and other important information. Free and simple tools are available for investors to research firms and financial professionals at Investor.gov/CRS. Here, you can also find educational materials about broker-dealers, investment advisers, and investing.

What investment services and advice can you provide me?

We do not offer recommendations to retail investors. York Securities offers brokerage services to retail investors. These services include the buying and selling of equities, mutual funds, bonds and options. As a discount broker, all of our accounts are self-directed. York Securities requires an initial minimum balance of \$500 to open a new account. For additional information, please visit: yorktrade.com/Static/pricing.html. Axos Clearing LLC is the clearing firm that carries your account. We do not monitor the performance of your account. We check your account as needed, in order to satisfy regulatory and compliance rules, and to ensure your account does not present undue risk to the firm.

Conversation Starters. Ask our financial professional these questions to learn more:

- > Given my financial situation, should I choose a brokerage service? Why or why not?
- > What is your relevant experience, including your licenses, education, and other qualifications? What do these qualifications mean?

What fees will I pay?

York Securities charges commissions for buying and selling equities, bonds and options (see yorktrade.com/Static/pricing.html). Loads or fees may be associated with buying and selling mutual funds. Some other common fees/charges are: Margin or Short Interest charges, Inactivity or Paper Statement/Confirm fees, Exchange and Regulatory Fees (these fees may be charged to your account dependent upon the products that you trade), Mutual Fund Internal Fees and Expenses which are passed along to shareholders, and Other Transactions (money transfers, account transfers, corporate reorganizations, etc.).

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 additional information, please visit yorktrade.com/Static/pricing.html.

Conversation Starter –

- > 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.

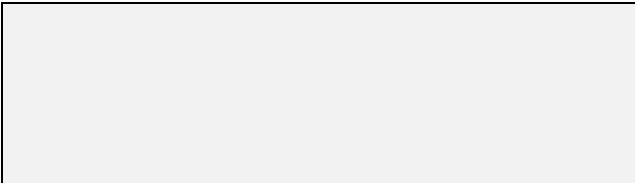
What are your legal obligations to me when providing recommendations? How else does your firm make money and what conflicts of interest do you have?

We do not provide recommendations. We *do not* receive incentives on investments that you make. We *do not* engage in proprietary trading against customer accounts. We *do not* receive

Conversation Starter –

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

payment for order flow. Some sources of our revenue may create 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: We receive third-party payment such as 12b-1 fees from mutual fund families, and share interest revenue from the clearing agent on customer credit and margin balances.



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. York Securities, Inc. is regulated by the SEC, FINRA, and state securities regulators. Go to brokercheck.finra.org for more information.

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

Yes- You can visit Investor.gov/CRS for a free and simple search tool to research our firm and financial professionals.

Conversation Starter –
> As a financial professional, do you have any disciplinary history? For what type of conduct?

Conversation Starter –
> Who is my primary contact person? Is he or she a representative of a broker-dealer? Who can I talk to if I have concerns about how this person is treating me?

For additional information about York Securities Inc., or to request a copy of this relationship summary please visit www.yorktrade.com. You may also call 1-800-221-3154 / 212-349-9700 or email info@yorksec.com to request up to date information or a copy of this relationship summary.

Links to regulatory agencies:

Securities & Exchange Commission (SEC) <https://www.sec.gov/>

FINRA's Broker Check <https://brokercheck.finra.org/>