

## Scottsdale Capital Advisors Corp. Client Relationship Summary

### Form CRS Relationship Summary

Last Updated: April 28, 2023

#### Introduction

Scottsdale Capital Advisors Corp (SCA) is registered with the U. S. Securities and Exchange Commission as a broker-dealer and member of Financial Industry Regulatory Authority (FINRA), the Municipal Securities Rulemaking Board (MSRB) and Securities Investor Protection Corp (SIPC). 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 advisors and investing.

#### What investment services and advice can you provide me?

**Services:** We are a boutique broker dealer and investment banking firm that primarily services the micro-cap market. The business included the acceptance of micro-cap securities for liquidation in the over the counter market. We do not recommend or advise our retail client base on the purchase of securities or the liquidation (i.e. sale). Our retail client base includes affiliates, insiders, professional services providers and sophisticated investors of OTC Securities. If you do not fall into one of these categories, opening an account at SCA is likely not appropriate for you. We are an introducing broker-dealer that clears and settles through our clearing firm, Alpine Securities.

**Monitoring:** Our financial professionals do not monitor your account to provide advice as to when to purchase or sell. The Firm does not provide an account monitoring service.

**Investment Authority:** In general, our brokerage services are non-discretionary which means that you make the ultimate decision when to sell your securities.

**Account minimums:** We will not open new customer accounts unless there is a corresponding deposit of securities. There can be exceptions due to additional factors, such as having a prior relationship with the Firm or being a referral from an existing customer. We reserve the right to not open accounts of a particular size and further reserve to the right to not do business with any individual or account for any reason and entirely at our discretion.

#### 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?

**Principal fees and costs:** The retail investor will pay a commission on each trade in their account whether the transaction makes money or not. There may be a difference in the amount of commission charged to each individual investor and some investors may pay more than others due to the size of the transaction or a

negotiated commission, for example. We do receive order flow payments to route your orders to other exchanges. Our commission charges and any additional fees are listed on our website [www.scottsdalecapital.com](http://www.scottsdalecapital.com). The fees may be negotiable based on various factors such as, the expected amount of activity and the length of the customer relationship.

**Other fees and costs:** Clients may incur certain other charges imposed by our clearing firm for the handling and administration of the account. A small example of such fees include an annual account fee and fees for statement production. Their fee schedule is provided at account opening and ongoing in your customer account statements.

**Additional information:** 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. Make sure you understand what fees and costs you are paying. SCA does not believe there is a conflict of interest with our financial professionals as no one at the firm earns commissions from client activity. All personnel are salaried.

### **Conversation starters:**

- ☐ Help me understand how these fees and costs might affect my investments. If I give you \$10,000, 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?
- ☐ How might your conflicts of interests affect me, and how will you address them?

### **How do your financial professionals make money?**

All of our staff are on salary. There are no cash or non-cash incentives to promote any activity or services therefore we believe there is no conflict of interest with our clients.

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

Yes, the firm and some of the personnel have disciplinary history. Free and simple search tools are available to retail investors who visit [www.investor.gov/CRS](http://www.investor.gov/CRS) to research our firm and financial professionals

### **Conversation starter:**

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

### **Additional information**

For additional information on our brokerage services go to our website at [www.scottsdalecapital.com](http://www.scottsdalecapital.com) or visit FINRA Brokercheck which can be found on the following link <https://brokercheck.finra.org/firm/summary/118786>. If you would like a complimentary copy of our Form CRS please contact us at 7170 E. McDonald Dr. Suite 6 , Scottsdale, AZ 85253 or call us at (480) 603-4900 and we will promptly provide it to you.

### **Conversation starter:**

- ☐ Who is the primary contact person on my account? Is he or she registered with your broker- dealer? If I have concerns about how this person is treating me, who can I talk to?