

## Client Relationship Summary MCA Securities, LLC January 9, 2023

**MCA Securities, LLC** is registered with the Securities and Exchange Commission and FINRA as a broker-dealer. Brokerage and investment advisory services and fees differ and it is important for you to understand the differences.

This document is a summary of the services and fees we offer to retail investors which are natural persons who seek or receive securities services primarily for personal, family, or household purposes. Additionally, free and simple tools are available to research firms and financial professionals at [Investor.gov/CRS](http://Investor.gov/CRS) which also provides educational materials about broker-dealers, investment advisers, and investing and [brokercheck.finra.org](http://brokercheck.finra.org) which provides pertinent facts including disciplinary history about member firms and individual registered representatives.

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

MCA Securities, LLC is a limited broker-dealer that offers investments in privately issued securities. We do not offer or provide recommendations for traditional brokerage such as your typical stocks, bonds or mutual funds and we do not offer financial planning, investment advisory or monitoring services. We only make recommendations and execute the sale of Private Placement securities. If we believe that an investment in a private placement is appropriate for you, we will make that recommendation. As part of our standard brokerage services, we will not monitor your investments on a regular basis.

We are affiliated with a Georgia state investment advisor, Maven Capital Partners, LLC. Maven Capital Partners, LLC offers discretionary investment advisory and financial planning services to retail investors. Maven Capital Partners, LLC receives compensation from fees based on a percentage of assets under management. For a detailed description of fees and services offered through Maven Capital Partners LLC, please refer to items 4, 7, 13 and 16 of their disclosure brochure by clicking the following link [FORM ADV 2A](#).

For parameters of the services and investments offered by us, please refer to disclosures in subscription agreements and private placement memorandums for specific offerings.

#### ***Key Questions to Ask Your Financial Professional***

- ✓ **Given my financial situation, should I choose a brokerage service? Should I choose an advisory 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?

MCA Securities, LLC does not charge separate fees to its retail customers. However, each investment program has a multitude of fees and costs associated with the investment that are earned by the sponsor. Those fees are explained in detail in the private placement memorandum.

***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 detailed information regarding our fees, refer to the disclosures in the private placement memorandum for a particular investment.

***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?**

***When we provide you with a recommendation, we have to act in your best interest and not put our interest ahead of yours.*** 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 recommendations we provide you. Here are some examples to help you understand what this means.

- *Compensation: We earn fees based on the amount of assets we place in an offering.*
- Some of our financial professionals are registered with our affiliated Georgia registered investment advisor, Maven Capital Partners, LLC. Please refer to details in [Form ADV Part 2B filings here](#).

***Key Question to Ask Your Financial Professional***

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

Your salesperson's interest in earning a commission is a conflict that may cause the salesperson to make a recommendation that is not in your best interest. We only offer investments in private placements. We do not offer any other types of investments or services such as traditional brokerage, investment monitoring or financial planning.

**How do our financial professionals make money?**

The financial professional servicing your account(s) are compensated based on salary, ownership interest and commissions.

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

Yes. Disclosures for our firm or our financial professionals can be found by going to [Investor.gov/CRS](http://Investor.gov/CRS).

***Key Questions to Ask Your Financial Professional***

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

You can find additional information about our brokerage services and request a copy of the relationship summary at 404 550-2357 or by emailing us at [andrew@mc-advisors.com](mailto:andrew@mc-advisors.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?**

## Appendix

### Summary of Material Changes

We have revised FORM CRS sections **What investment services and advice can you provide me?** to describe services offered through our affiliated state registered investment advisor.

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

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