



LIME
TRADING

CLIENT RELATIONSHIP SUMMARY

Lime Trading Corp. is registered with the U.S. Securities and Exchange Commission (“SEC”) as a broker-dealer and is a member of the Financial Industry Regulatory Authority (“FINRA”), the New York Stock Exchange (“NYSE”), the Securities Investor Protection Corporation (“SIPC”), and the National Futures Association (“NFA”). Lime Trading Corp. offers a variety of account and investment options to both retail and institutional customers.

Brokerage fees differ and it is important for you to understand these differences. Free and simple tools are available to research firms and financial professionals at 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?

The Firm is a registered broker-dealer that provides a self-directed brokerage platform for investors. Our brokerage services include at your direction. Among other products, we offer domestic equities, options, Futures, exchange traded funds (ETFs), and money market funds. We do not recommend investments, provide advice or monitor your brokerage account unless we state otherwise in writing. You must meet certain investment minimums to open a brokerage account. We do not review the performance of your account and your trades should be based on your risk tolerances and investment objectives. Our employees are registered representatives for the purposes of providing customer service and trading support. Our employees are not investment advisers and therefore, do not offer any investment advice. You make the ultimate decision regarding the purchase or sale of investments. If you open a brokerage account, you will pay us a transaction-based fee, generally referred to as a commission, every time you buy or sell an investment.

Conversation Starters. 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 to me?*
- *What is your relevant experience, including your licenses, education and other qualifications?*
- *What do these qualifications mean?*

What fees will I pay?

The fees you pay will depend on the type of brokerage services you choose. You may pay us a fee called a commission, for each investment you buy or sell. The more transactions you make, the more fees you pay us. As a result, we have an incentive for you to trade more frequently and in greater volume because we generally receive more fees when you do so.

You may also pay regulatory, exchange and clearing firm fees that are passed through to the client. These fees may be in addition to execution fees or commissions charged. Further, you can incur additional fees in the form of margin interest if you have a margin account and fees to borrow stock for short sales.. You may also pay fees associated with back-office processing, such as check, wire and maintenance fees custodial or administrative services, such as wire transfers, returned checks, retirement account closeouts, and express mail delivery and commission sharing agreements . 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.

These fees are shown on your client statement.

Mutual funds, ETFs, and similar products typically charge their own separate fees and other expenses. See the applicable prospectus or offering document for more information about these fees and expenses.



Conversation Starters. 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 make 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 services we provide you. Here are some examples to help you understand what this means.

Examples of Ways We Make Money and Conflicts of Interest

We receive 12b-1 payments from certain mutual funds. We have an incentive for you to invest in third-party funds that pay us distribution (12b-1) fees over funds that do not pay us 12b-1 fees, or those that pay us lower fees.

We receive compensation for directing equity and options order flow to certain market participants.

Third-Party Products: The Firm may receive payments, credits, reductions in our costs and/or conference support from third-party product managers, sponsors, intermediaries, and platform providers (or their affiliates), including from our clearing brokers (ABN AMRO, Axos, Vision, and Wedbush) and third-party asset management platform providers.

Conversation Starters. Ask your financial professional:

- *How might your conflicts of interest affect me, and how will you address them?*
- For additional information, please see [Regulation Best Interest Disclosures](#) and other applicable documents.*

How do your financial professionals make money?

Our financial professionals are salaried employees who are not paid commissions for products sold, transactions executed, or the amount of assets serviced

Conversation Starters. Ask your financial professional:

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

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

Yes. Visit www.investor.gov/CRS for a free and simple search tool to research us and our financial professionals.

Additional Information

For additional information about our services, please call 1-855-274-4934 (toll free) where you can request up-to-date information and a copy of Form CRS and/or a copy of the Regulation Best Interest disclosures.

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?*

Please contact cs@lime.co | 646-558-3232