

Form CRS

Trident Partners, Ltd. Form CRS Customer Relationship Summary October 17, 2022

<p>Introduction</p>	<p>Trident Partners, Ltd. ("the Firm") 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 these differences. Free and simple tools are available to research firms and financial professionals at Investor.gov/CRS, which also provides educational materials about broker-dealers, investment advisers, and investing.</p>
<p>What investment services and advice can you provide me?</p>	<p>The Firm offers brokerage services to retail investors, including buying and selling securities. In this capacity, we act as your fiduciary, which requires us to act in your best interest and to put your needs above all others. We offer and recommend a wide range of investments, including but not limited to: mutual funds, stocks, bonds, exchange-traded funds (ETFs), options, fixed income securities, certificates of deposit (CDs), unit investment trusts (UITs), variable annuities, and insurance (life, variable life, accident, and health). Such investments include proprietary products and investments from unaffiliated third- parties. While we offer research with respect to investment products and recommendations upon request, you make the ultimate decision regarding the purchase or sale of investments. We do not hold custody of client assets, do not accept discretionary authority, and do not offer contractual account monitoring. We do not have account minimums at this time. For additional information, please view our Expanded Brokerage Disclosure Document. Conversation Starter/Questions to Ask Your Broker:</p> <ul style="list-style-type: none"> - 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?
<p>What fees will I pay?</p>	<p>Our fees are generally transaction-based and are typically called commissions, sales charges, loads, selling concessions ("mark-up," "mark-down"), or trails. Such fees cause an inherent conflict of interest; you will be charged more when there are more trades in your account, and the Firm may therefore have an incentive to encourage you to trade often. These fees vary depending on the investment product you select, the size of your transaction, and can be charged up-front when you purchase or sell the investment or on an ongoing basis. Additionally, our clearing and custody partner, RBC Correspondent Services may assess fees associated with your brokerage account such as account termination and/or account transfer fees, liquidation fees, and fees associated with margin participation. The fees and costs you pay for specific securities transactions are disclosed to you on the confirmation statement you receive after your transaction is executed, or in the prospectus/sales contract which will be provided for certain securities transactions. The total cost you incur in connection with your brokerage accounts will primarily depend on your investment mix and how frequently you trade. 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 view our Expanded Brokerage Disclosure Document. Conversation Starter/Questions to Ask Your Broker:</p> <ul style="list-style-type: none"> - 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?

<p>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?</p>	<p><i>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 recommendation(s) we provide you. As noted above, due to the nature of our fee structure, we may be incentivized to encourage you to trade frequently to increase the fees and costs you pay, which may cause a conflict of interest.</i></p> <p>Third-Party Payments: Trident Partners Ltd. receives payments from third-parties (or their affiliates) when we recommend certain products. As such, Trident Partners Ltd. may have an incentive to recommend (or to invest your assets in) products of third- parties that may pay us, over products of third-parties that do not pay us or pay us less.</p> <p>Revenue Sharing: Certain managers and sponsors (or their affiliates) share the revenue they earn when you invest in certain investment products or in some of their investment products (primarily mutual funds and variable annuities) with Trident Partners Ltd. As such, Trident Partners Ltd. may have an incentive to recommend (or to invest your assets in) products of sponsors and fund managers that share the at share their revenue with us, over other products of sponsors or fund managers that do not or who share less.</p> <p>Riskless Principal Transaction: Riskless principal transactions take place when a broker, after having received an order to buy/sell a security, purchases/sells the security in a segregated account, at either a “limit” price or the prevailing market price in order to satisfy that order. The broker will charge the customer a “markup”, “markdown”, (which may be interpreted as “the” commission) or a “commission” equivalent for its services, which is disclosed on the confirmation. For a detailed explanation please contact your financial advisor.</p> <p>Conversation Starter/Questions to Ask your Broker: How might your conflicts of interest affect me, and how will you address them? For additional information, please view our Expanded Brokerage Disclosure Document.</p>
<p>How do your financial professionals make money?</p>	<p>Our investment professionals are compensated based upon a percentage of commissions that may vary by product. There can be a potential conflict of interest as professionals generate commissions through transactions. The higher the volume of transactions the higher the commissions generated. Professionals may receive recruitment/employment incentive packages regardless of a comparative benefit or service they or the client receive at other financial firms. Investment professionals employed by the Firm are not compensated based on the amount of client assets they service. In the case of certain investment products, including funds, the issuer or the sponsor may provide the investment professional with other forms of compensation including business entertainment, educational costs, seminars, business meetings, nominal gifts, or financial assistance in covering the cost of marketing and sales events.</p>
<p>Do you or your financial professionals have legal or disciplinary history?</p>	<p>Yes. Visit Investor.gov/CRS for a free and simple search tool to research us and our financial professionals. You may research your Registered Representatives / Investment Advisors experience and license on FINRA s Broker Check website at www.brokercheck.finra.org.</p> <p>Conversation Starter/Questions to Ask Your Broker: As a financial professional, do you have any disciplinary history? For what type of conduct?</p>
<p>Additional Information</p>	<p>For additional information about our services, visit our website, www.tridentpartnersltd.com, or contact us at 516-681-9100. If you would like additional, up-to-date information or a copy of this disclosure, please call 516-681-9100.</p> <p>Conversation Starter/Questions to Ask Your Broker:</p> <ul style="list-style-type: none"> - 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 and my investments?