



Marex Capital Markets Inc.

**FORM CRS
June 1, 2020**

Item 1. Introduction

- A. Marex Capital Markets Inc. (the "Firm") is a broker-dealer registered with the U.S. Securities and Exchange Commission, and a member of the Financial Industry Regulatory Authority ("FINRA") and the Securities Investor Protection Corporation ("SIPC"). The Firm is not an investment adviser and does not provide advisory services or recommendations.
- B. Free and simple tools are available to research firms and financial professionals at [Investor.gov/CRS](https://investor.gov/CRS), which also provides educational materials about broker-dealers, investment advisers, and investing.

Item 2. Relationships and Services

- A. **What brokerage services can you provide me?**
- B. **Description Services:** Our Firm offers brokerage services to retail investors, including the buying and selling securities on an agency-only basis. Our Firm does not offer recommendations to retail investors concerning the types of accounts or the buying or selling of securities.
 - (i) *Monitoring.* We do not monitor retail investors' investments for performance.
 - (ii) *Investment Authority.* The retail investor makes the ultimate decision regarding the purchase or sale of investments. We do not accept limited discretionary authority.
 - (iii) *Limited Investment Offerings:* Our Firm's does not offer proprietary products or restrict retail investor to a limited menu of products or types of investments.
 - (iv) *Account Minimums and Other Requirements:* We do not open or maintain accounts for retail investors unless they meet certain requirements, including minimum account size, sophistication and trading strategy.
- C. **Additional Information:** Our Firm is a broker-dealer that does not provide recommendations subject to Regulation Best Interest. Additional information about us can be find on our website at <https://www.marex.com/about-us/regulation/>.
- D. **Conversation Starters:**

"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?"

Item 3. Fee, Costs, Conflicts and Standard of Conduct

- A. **What fees will I pay?**
 - (i) *Description of Principal Fees and Costs:* The principal fees and costs that retail investors will incur for our brokerage services are commission-based, which are assessed per trade. This means that you will be charged more the more that you trade.
 - a. Our Firm assesses transaction-based fees as follows: commissions are assessed on a trade-by-trade basis, potentially with a minimum booking charge. With respect to addressing conflicts of interest, retail investors are charged more when there are more trades in his or her account, and we may therefore have an incentive to encourage a retail investor to trade often. Our Firm, however, does not offer recommendations to retail investors to buy, sell or hold securities or concerning the opening or maintaining types of accounts.
 - (ii) *Description of Other Fees and Costs:* Other fees and costs related to our Firm's brokerage services in addition to our principal fees and costs disclosed above that a retail investor will pay, directly or indirectly, are: an execution or clearance fee per share (each potentially subject to minimum booking charge), margin financing charges, and stock borrow fees.



(iii) *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. Please make sure you understand what fees and costs you are paying.**

(iv) *Conversation Starter:*

“HELP ME UNDERSTAND HOW THESE FEES AND COSTS MIGHT AFFECT MY INVESTMENTS. IF I HAVE \$10,000 TO INVEST, HOW MUCH WILL GO TO FEES AND COSTS, AND HOW MUCH WILL BE INVESTED?”

B. How else does your Firm make money and what conflicts of interest do you have?”

(i) Standard of Conduct.

a. **We do not provide 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. When you trade securities, we charge a commission. This means that the more you decide to trade, the more we are able to charge you.

(ii) *Examples of Ways You Make Money and Conflicts of Interest:* Our Firm makes money from brokerage services we provide to retail investors in the following ways: an execution or clearance fee per share (each potentially subject to minimum booking charge), margin financing charges, and stock borrow fees. This means that the more you decide to trade, the more we are able to charge you.

(iii) *Conversation Starter:*

“HOW MIGHT YOUR CONFLICTS OF INTEREST AFFECT ME, AND HOW WILL YOU ADDRESS THEM?”

C. How do your financial professionals make money?

(i) *Description of How Financial Professionals Make Money:* Our Firm’s financial professionals are compensated, including cash and non-cash compensation, as follows: generally, our professionals receive a salary and discretionary bonus; certain professionals may receive a percentage of the revenue generated by a particular account. These payments create the following conflicts of interest: the more that you decide to trade, the more we will charge you, which will generate more revenue from which our professionals can be compensated.

(ii) *Required Topics in the Description:* Our financial professionals are compensated based on such factors as: revenue the Firm earns from its brokerage activities generally and, for certain professionals, specific revenue the Firm earns from particular accounts.

Item 4. Disciplinary History

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

B. Yes:

(i) Retail Investors may go to www.brokercheck.finra.org for a free and simple search tool to research the firm and a financial professional.

(ii) *Search Tool:* Retail investor may visit Investor.gov/CRS for a free and simple search tool to research our Firm and our financial professionals.

C. Conversation Starter:

“AS A FINANCIAL PROFESSIONAL, DO YOU HAVE ANY DISCIPLINARY HISTORY? FOR WHAT TYPE OF CONDUCT?”

Item 5. Additional Information

A. Retail investors can find additional information about the Firm’s brokerage services and request a copy of the relationship summary at <https://www.marex.com/about-us/regulation/>.

B. Retail Investors may call 212- 618-2874 to request up-to-date information and request a copy of the relationship summary.



C. Conversation Starter:

"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?"

WE ARE A BROKER DEALER WHICH DOES NOT PROVIDE RECOMMENDATIONS AND DOES NOT DEAL WITH RETAIL CUSTOMERS. IT YOU HAVE ANY QUESTIONS PLEASE REACH OUT TO OUR COMPLIANCE DEPARTMENT AT 212-618-2800.