



Client Relationship Summary

Ascendant Capital Markets, LLC is registered with the Securities and Exchange Commission ("SEC") as a broker-dealer. Brokerage and investment advisory services and fees differ, and it is important for you to understand the differences. This Client Relationship Summary provides details about our brokerage services, fees, and other important information.

Free and simple tools are available for investors to research firms and financial professionals at investor.gov/CRS. Here, you can also find educational materials about broker-dealers, investment advisers, and investing.

What investment services and advice can you provide me?

Ascendant Capital Markets, LLC offers brokerage services that encompasses the following: making inter-dealer markets in corporation securities over-the-counter; retail corporate equity securities over-the-counter; sell corporate debt securities; underwrite or act as selling group participant (corporate securities other than mutual funds); retail mutual fund; broker put or call option; sell tax shelters or limited partnerships in primary distributions; arrange for transactions in listed securities by exchange member as a non-exchange member; trade securities for its own account; conducts private placement of securities; and engages in M&A advisory, investment banking and research services.

Conversation Starters. Ask your financial professional these questions to learn more:

- **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?**

- Monitoring. The Firm does not monitor accounts.
- Investment Authority. There is no discretionary authority over customer accounts. Investors make the ultimate decision regarding the purchase or sale of investments.
- Limited Investment Offerings. The Firm does not make available limited offerings or offer recommendations. It does not have proprietary products.
- Account Minimums and Other Requirements. There are no account size minimums or investment amount limitations

For additional information, please contact your Registered Representative or visit our website, ascendant.com. You may also call 561.427.7788 to request updated information.

What fees will I pay?

Conversation Starter –

- **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?**

Fees will range from a flat fee or to a fee that is tied to the account transaction size, usually expressed in dollars. Transaction-based fees may be negotiated and size may matter and may therefore result to investor incentive.

Most common fees and costs are associated with transaction fees, management fees and commissions.

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 contact your Registered Representative or visit our website, ascendant.com. You may also call 561.427.7788 to request updated information.

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 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 you.

Given its client base, the Firm believes that the way it makes money does not conflict with the interests of its customers. Should you deem that a conflict of interest arises or is imminent—whether that be due to the Firm’s policies and procedures or an action by a Registered Representative, please let the Firm know about it immediately.

For additional information, please contact your Registered Representative or visit our website, ascendant.com. You may also call 561.427.7788 to request updated information.

Conversation Starter –

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

How do your financial professionals make money?

Ascendant Capital Markets, LLC and its financial professionals may be compensated through fixed salaries or revenue earned by the Firm through commission-based transaction fees, retainers, and success fees.

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

Yes, the Firm has a disciplinary history and explanations have been properly provided through FINRA’s Broker Check (brokercheck.finra.org) regarding the circumstances that led to them.

You can visit investor.gov/CRS for a free and simple search tool to research our firm and financial professionals.

Conversation Starter –

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

For additional information about Ascendant Capital Markets, LLC or to request a copy of this relationship summary please visit ascendant.com. You may also call 561.427.7788 to request updated information or a copy of this relationship summary.

Conversation Starter –

- Who is my primary contact person? Is he or she a representative of an investment adviser or broker-dealer? Who can I talk to if I have concerns about how this person is treating me?