

COMPASS SECURITIES CORPORATION RELATIONSHIP SUMMARY DISCLOSURE – June 30, 2020

<p>What investment services and advice can you provide me?</p>	<p>Compass Securities Corporation (CSC) is registered with the Securities and Exchange Commission (SEC) as an introducing broker dealer only. CSC is owned by its parent company, Compass Holding Group Incorporated. CSC's primary business is serving institutional clients, however, it does conduct some business with retail customers by offering mutual funds and variable annuities through third parties. For the purposes of disclosure, this document will only focus primarily on retail client relationships. For retail investors, brokerage and investment advisory services and fees differ and it is important to understand these differences. Free and simple tools are available to you to research firms and financial professionals at <a href="http://investor.gov/crs">investor.gov/crs</a> which also provides educational materials about broker-dealers and investing.</p> <p>As a broker-dealer, we recommend to retail clients investments in mutual funds and variable annuities offered by third parties. CSC does not custody or hold any retail client accounts directly, rather accounts are opened at third party providers, mutual fund or insurance companies.</p> <p>Account Monitoring: We do not monitor your accounts but may voluntarily review them from time to time and may or may not make recommendations based on these reviews.</p> <p>Investment Authority: We do not have discretionary investment authority over the majority of our accounts which means we cannot buy or sell investments in your accounts without first obtaining your consent.</p> <p>Limits on Investment Offerings: We do not limit our recommendations to specific mutual funds and variable annuities but in some cases will use some more than others.</p> <p>Account minimums and other requirements: While we do not have an account minimums some third parties may have minimum requirements.</p>	<p>Conversation Starters.</p> <ul style="list-style-type: none"> <li>Given my financial situation, should I choose a broker-dealer? Why or why not?</li> <li>How will you choose investments to recommend to me?</li> <li>What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?</li> </ul>
<p>What are your legal obligations to me when acting as my investment adviser? How else does your firm make money and what conflicts of interest do you have?</p>	<p>When we provide a recommendation as your broker-dealer, we are required to act in your best interest and not put our interest ahead of yours. Concurrently, the way we make money creates some conflicts with your interests. You should understand and ask us about these conflicts as they can affect the recommendations and investment advice we provide you. As an example, we are paid more when you invest more, we have an incentive to encourage you to make additional investments.</p> <p>An example of incentives created by some of the compensation we receive:  <b>Third-Party Payments:</b> When we sell an investment fund or product to you as a broker-dealer, we receive compensation from the issuer (such as a mutual fund or insurance company) and their sponsors or managers, and we may also receive 12b-1 fees. These payments create an incentive for us to sell you investments that entail such payments and to maintain our relationships with the issuers and their affiliates. Since the amount of compensation we receive varies between issuers and the different investments and the types of investments we offer as a broker-dealer, we have an incentive to sell you more of those investments that pay us more compensation.                  We pay our financial professionals a portion of the fees we receive from third parties.                  As noted above, the commissions we receive generally vary based on the investments</p>	<p>Conversation Starters.</p> <ul style="list-style-type: none"> <li>How might your conflict of interest affect me, and how will you address them?</li> </ul>

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<p>How do your financial professionals make money?</p>	<p>purchased and sold. The portion of the fees we pay to the financial professionals also varies among financial professionals depending on individualized payout schedules. Such schedules are based on several factors such as but not limited to experience in the industry and geographic location. This creates an incentive for our financial professionals to sell more investments as a registered representative of our broker-dealer to qualify for higher portion of commissions.</p>	<p>Conversation Starters</p>
<p>Do you or your financial professionals have legal or disciplinary history?</p>	<p>Compass Securities Corporation and its registered representatives do not have any disciplinary history. FINRA’s Brokercheck is a free public resource that can help you research the professional backgrounds of brokers and brokerage firms, go to <a href="http://www.finra.org/brokercheck">www.finra.org/brokercheck</a> for further information. The SEC also has free tools at <a href="http://www.investor.gov/crs">www.investor.gov/crs</a> to research us and our financial professionals.</p>	<ul style="list-style-type: none"> <li>• As a financial professional, do you have any disciplinary history? For what type of conduct?</li> </ul>
<p>Additional Information</p>	<p>Clients primary point of contact is their representative, but additional inquiries can be made to our CCO Tim Shanahan @ 781-535-6083.</p> <p>Compass Securities Corporation maintains additional information and its necessary disclosures on its website: <a href="http://www.compasssecurities.com">www.compasssecurities.com</a></p>	<p>Conversation Starters.</p> <ul style="list-style-type: none"> <li>• Who is my primary contact person? Is he or she a representative of an investment – adviser? Who can I talk to if I have concerns about how this person is treating me?</li> </ul>