

Fortune Securities, Inc.

Customer Relationship Summary BD

Item 1. Introduction:

Fortune Securities, Inc. is a Broker/Dealer firm that is registered with the Securities and Exchange Commission ("SEC"), Financial Industry Regulatory Authority ("FINRA") and the States of Arizona, California, Colorado, New Jersey and Washington, as a Broker/Dealer. Brokerage and Investment Advisory services and fees differ. It is important for a retail investor to understand these differences. Free and simple tools are available to research firms and financial professionals at investor.gov/CRS, as well as, finra.org/investors, which also provides educational material about Broker/Dealers, Investment Advisers, and investing.

Item 2. Relationships and Services:

What investment services and advice can you provide me?

Our firm offers investment opportunities by recommending to you, the purchase of various securities. Our recommendations consider your investment objectives, risk tolerance, time horizon, income, net worth, your age and other information that you provide to us, as well as any restrictions that you may place on us. We offer advice and recommend only those types of investments that our firm is currently approved to represent to you.

Conversation Starters you may wish to ask your financial professional:

Given my financial situation, should I choose an investment advisory 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 and what do these qualifications mean?

Item 3. Fees, Costs, Conflicts and Standard of Conduct:

What fees will I pay?

Our firm charges a commission for agency transactions. For most security transactions, commissions charged, will not exceed two percent (2%) of the transaction, and may be less than that. However, certain investments, such as mutual funds, variable products and private placements may have commissions in excess of two percent (2%).

You may pay fees and costs whether you make or lose money on your investments and if so, they will reduce the amount of money you make on your investments over time. Please make sure you understand what costs and fees you are paying.

In addition, there may be some fees and costs which are charged by third parties. We do not charge these fees or receive any portion of them. These could include transaction fees, safekeeping fees, account maintenance fees, transfer fees, fees related to mutual funds and annuities, or other fees associated with products we recommend to you. We do not receive any benefit from these fees.

Conversation Starters you may wish to ask your financial professional:

How will 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?

- When we act as your Broker/Dealer, 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 may create some conflicts with your interests. You should understand and ask us about these conflicts because they can affect

the investment advice we provide you. Here are some examples to help you understand what this means. For example, the firm, its Registered Representative, its affiliates, employees and/or associated persons and their families, trusts, estates, charitable organizations, and retirement plans established by it may purchase the same securities as are recommended to clients. This may raise a potential conflict of trading in a security ahead of a client (known as frontrunning). This practice is prohibited.

Conversation Starters you may wish to ask your financial professional:

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

How do your Registered Representatives make money?

Your Registered Representative receives a percentage of the commission that you pay. We do not offer a higher payout or additional incentive to Registered Representatives based on the types, or number of investments they recommend.

Item 4: Disciplinary History

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

Yes, we have disclosed disciplinary events. You can learn about our legal and disciplinary history at investor.gov/CRS, and brokercheck.finra.org

Conversation Starters you may wish to ask your financial professional:

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

Item 5: Additional Information

We encourage you to call us for more information. You can contact us by phone at (626) 281-6001 to obtain an up-to-date, free of charge Customer Relationship Summary.

Conversation Starters you may wish to 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?"