PARSONEX CAPITAL MARKETS LLC

Client Relationship Summary

November 14, 2023

Parsonex 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?

Parsonex Capital Markets, LLC conducts the following broker/dealer business: private placement of securities; broker or dealer selling oil and gas interests; and broker or dealer selling tax shelters or limited partnerships in primary distributions.

- 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 make available limited offerings and offers recommendations. It does have proprietary products. Offerings limited to products listed above.
- Account Minimums and Other Requirements. Account size minimums or investment amount limitations may be different for every product. This type of information will be clearly specified in a product's private placement memorandum or equivalent document.

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?**

For additional information, please contact your Registered Representative or call 720.767.2348, to request 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 be transactional and are referenced in the Private Memorandum

Common fees and costs are commissions paid to registered representatives, There may be additional fees like management fees, fund fee and due diligence Fees.

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.

Commissions are shared between the broker-dealer and selling agents

Depending on the terms of your specific investment, your ownership may or may not be reduced by the commission amount

For additional information, please contact your Registered Representative or call 720.767.2348, to request 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?

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 recommendations we provide you. Here are some examples to help you understand what this means.

The firm may receive payments from a third-party when you invest in certain Private Equity Products. These payments represent additional compensation to us, or to compensate us for ongoing support activities we perform on behalf of third parties, such as product servicing or record keeping through managing broker dealer fees. This results in a financial incentive to recommend products that provide additional compensation to us over those that pay lesser amounts or none at all. Such payments may also affect which products we make available. Affiliated Entities: We have an incentive to earn greater fees compensation if you invest in a a product that we or our affiliates advise, manage, sponsor or otherwise provide services to such as affiliate private equity funds. For additional information, please contact your Registered Representative or call 720.767.2348, to request information.

Conversation Starter –

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

How do your financial professionals make money?

Parsonex Capital Markets, LLC and its financial professionals are compensated through fixed salaries or revenue earned by the Firm through commission-based transaction fees and management fees. Example: We earn greater fee compensation if you invest in a a product that we or our affiliates advise, manage, sponsor or otherwise provide services to such as private equity funds. **For additional information**, please contact your Registered Representative or call 720.767.2348, to request information.

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

Yes. We and some of our professionals do . You can view the firm's history through FINRA's Broker Check (brokercheck.finra.org).

You can also 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?**

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?**

Your registered representative of our firm is your primary contact for your investment accounts. You can contact the firm's compliance department via phone or regular mail if you have any concerns with how your representative may be treating you.

For additional information about Parsonex Capital Markets, LLC or to request a copy of this relationship summary please call 720.767.2348.