

Huntwicke Securities, LLC
Form CRS: Customer Relationship Summary
June 15, 2020

Huntwicke Securities, LLC is a broker-dealer registered with the U.S. Securities and Exchange Commission (SEC) and a member of FINRA and SIPC. Some of our firm’s financial professionals are advisers with Essex Private Wealth Management, LLC (“Essex”), which is an affiliated, SEC registered investment advisory firm. Brokerage and investment advisory services and fees differ, and it is important for you to understand these differences. Free and simple tools are available to research firms and financial professionals at <https://www.investor.gov/CRS>, which also provides educational materials about broker-dealers, investment advisers, and investing. This summary describes only our business as broker-dealer; for information on services offered by Essex, please review the attached Form CRS.

What investment services and advice can you provide me?

Some registered representatives (RRs) of our firm offer securities and make recommendations to retail investors. All recommendations regarding securities described below will be made in a broker-dealer capacity; if an RR who is also an adviser of Essex makes recommendations regarding your advisory account, those recommendations will be made in an advisory capacity. When we make a recommendation to you, we will expressly tell you orally which entity we are representing.

In general, our firm assists companies by helping them raise capital as “issuers” or “sponsors” through private placements of securities. After considering your investment profile, we may recommend investments in unregistered, private placement securities. Our firm does not impose a minimum investment amount, but in most cases, issuers or product sponsors set a minimum size of investments, which may vary depending on the issuer, sponsor or offering. We offer private placement securities only to qualified investors who meet certain wealth and sophistication thresholds, and we recommend only securities of issuers or sponsors who engage our firm to conduct approved offerings. We have solicitation agreements with a select number of issuers or sponsors and therefore we offer a limited number of securities. We do not offer products that are proprietary to our firm.

We currently offer Delaware Statutory Trusts (DST) to qualified investors. These securities are a type of “1031 exchange,” a product designed to lawfully delay capital gains taxes owed on the sale of real property, such as real estate. A 1031 exchange takes place when real property is sold and an equity interest (a security) is purchased with the proceeds. We may recommend purchases of DSTs to initially delay capital gains taxes or exchanges of one DST for another in order to continue to delay capital gains tax obligations.

If you purchase securities in private placements, unless agreed to in writing we do not monitor your investment or make recommendations on whether to hold or dispose of your investment. See the sections below about how we earn compensation.

Before and after you become a customer, we will disclose other material information about our services and our relationship with you. Orally or in various documents, such as securities offering materials, we will describe the specific characteristics and risks of the securities we offer. Some information will be provided by the securities issuers or sponsors. ***For additional information*** please call us at (978) 887-5981.

Questions to Ask Your Financial Professional

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?

What fees will I pay?

When you purchase or exchange securities through our firm, you do not pay any fees or other compensation directly to us. Instead, we are paid by issuers or sponsors. The issuer or sponsor agrees to pay us a placement fee negotiated at the time we enter a selling or solicitation agreement. That transaction fee is a percentage of the dollar amount of securities we sell. The fee may vary from one transaction to another but, in most cases, it is the same for all sales that are part of the same private placement offering. The issuer or sponsor also usually reimburses us for expenses we incur in connection with the private placement, such as marketing or product investigation (“due diligence”) expenses; those payments may equal a percentage of sales proceeds.

You should understand that the issuer or sponsor pays our fees and costs out of the proceeds of each offering. Details about the effect of offering expenses on your investment return are included in the offering materials we deliver to you. The issuer pays our private placement transaction fees regardless of whether the offering is considered a success and regardless of whether you make or lose money on your investment.

When you make an investment, there are amounts that may be charged to you by third parties who handle your investment funds, such as a bank acting as escrow agent or, for DST's, a Qualified Intermediary. These parties may also earn interest on your funds during the period before they are invested. Our firm does not share in any of these additional fees or interest income.

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. Your financial professional will provide you with private placement offering materials and other product-related documents that describe specific fees and costs. **For additional information** about the costs of investing, please call us at (978) 887-5981.

Questions to Ask Your Financial Professional

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?

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:

Transaction Fees and Expense Allowances from Third Parties: We are paid by the issuer or sponsor based on the amount of securities you purchase. This financial incentive can potentially represent a conflict of interest.

For additional information, refer to respective offering documents that disclose fees and related conflicts, if any. When we do business with you, we will provide you, orally or in writing, with additional information, if any, on circumstances or fees that pose additional conflicts of interest.

Questions to Ask Your Financial Professional

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

How do your financial professionals make money?

Financial professionals may earn salaries, bonuses and other compensation that is tied to the private placement fees we receive and to our firm's overall profitability. The Firm adheres to internal guidelines when allocating private placement revenues. Certain RRs who sell securities to you are compensated as a percentage of the fees earned by our firm; these sales commissions vary depending on each RR's compensation agreement.

Do your financial professionals have legal or disciplinary history?

No. Visit <https://www.investor.gov/CRS> for a free and simple search tool to research us and our financial professionals.

Questions to Ask Your Financial Professional

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

Additional Information

For additional information about our services, or for a current copy of this CRS disclosure, please call us at (978) 887-5981 or go to <https://huntwickesecurities.com/>. For information on our affiliate's advisory services, review the attached Form CRS and see Form ADV Part 2A at <https://adviserinfo.sec.gov/firm/summary/149991>.

Questions 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?