

# **Great Point Capital, LLC**

## **FORM CRS**

### **CUSTOMER RELATIONSHIP SUMMARY**

June 1, 2026

#### **Introduction**

Great Point Capital, LLC ("Great Point," "we," "our," or the "Firm") is registered with the Securities and Exchange Commission ("SEC") as a broker-dealer and is a member of the Financial Industry Regulatory Authority ("FINRA") and the Securities Investor Protection Corporation ("SIPC").

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 [Investor.gov/CRS](https://Investor.gov/CRS), which also provides educational materials about broker-dealers, investment advisers, and investing.

#### **Terms to Know**

A broker-dealer is a firm that acts as an intermediary between buyers and sellers of securities and may receive compensation for its services.

An investment adviser is generally any person or firm that provides investment advice or manages investments for compensation.

#### **What investment services and advice can you provide me?**

Great Point provides self-directed brokerage services to retail investors. Customers maintain brokerage accounts through third-party clearing firms, including Wedbush Securities and Velocity Clearing, LLC, and utilize trading technology and order routing services made available through Great Point.

Great Point's role is limited to providing access to trading technology, order routing services, operational support, and supervisory oversight associated with customer use of the Firm's systems.

All investment and trading decisions are made solely by the customer. Great Point does not provide investment advice, recommend securities transactions, monitor customer accounts, exercise discretionary authority over customer accounts, or make investment decisions on behalf of customers.

Customers are solely responsible for determining whether any investment, security, or trading strategy is appropriate for their individual circumstances.

We do not impose account minimums, although our clearing firms or service providers may establish minimum account requirements.

### **What fees will I pay?**

You will pay fees and charges associated with your brokerage account and trading activity. These fees may include transaction-based charges, clearing and custody fees, exchange and regulatory fees, technology or platform-related fees, and account maintenance or other operational fees.

The more transactions that occur in your account, the more fees you may pay.

You will pay fees and costs whether you make or lose money on your investments. Fees and costs reduce any amount of money you make on your investments over time. Please make sure you understand the fees and costs that apply to your account.

Conversation Starter:

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

### **How do your financial professionals make money?**

Great Point personnel are compensated through salary, bonuses, profit-sharing arrangements, or other compensation arrangements established by the Firm.

Great Point does not provide investment recommendations to retail customers. Accordingly, personnel are not compensated for recommending particular securities, investment products, or trading strategies to retail customers.

### **Do your financial professionals have legal or disciplinary history?**

Yes. Visit [Investor.gov/CRS](http://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?

### **Where can I find additional information?**

For additional information about our services, please visit [www.greatpointcapital.com](http://www.greatpointcapital.com).

If you would like additional, up-to-date information or a copy of this relationship summary, please call (312) 356-4400.