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Use this summary to understand our Broker Dealer Services	
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ITEM 1: Introduction WHAT KIND OF BASIC SERVICES DO WE PROVIDE?	SALES RECOMMENDATIONS AND TRADING This is a sales relationship. We offer brokerage services, by: <ul style="list-style-type: none"> recommending investments for you to buy and sell based on an assessment of your financial situation and investment goals, and executing trades for you based on your investment decisions The Rockwell financial Group is registered with SEC as Broker Dealer Please visit investor.gov/crs for a free and simple search tool to research the firm and its financial professionals.
ITEM 2: Relationship And Services HOW DOES OUR RELATIONSHIP WORK?	What investment services and advice can you provide me? We have a sales-based transactional relationship with you. For investments, we: <ul style="list-style-type: none"> make buy and sell recommendations to you, consider your investment goals and profile, including factors like your age and what time frame you have allotted to achieve/ meet your financial goals. We then execute the transactions you decide to make based on our recommendations. YOU have the responsibility to make the final investment decision on the transaction. What investment services can you provide me?: <p>Brokerage Services: In general, the brokerage services we offer to retail investors consists of non-discretionary brokerage accounts to purchase, sell and hold securities. In a non-discretionary account, a financial professional may provide you with recommendations, but you always make the ultimate decision to buy, sell or hold your investments. In other words, a financial professional will not enter orders or otherwise transact in your brokerage account unless you authorize us to do so. In general, our financial professionals do not actively monitor your brokerage account investments.</p> <p>For monitoring and oversight, we:</p> <ul style="list-style-type: none"> do provide trade confirmations. do provide monthly or quarterly account statements You may choose how much you want to be involved in overseeing your investments. You may request online access to your account through your registered representative. We Do Not Participate in discretionary Authority DO NOT monitor your account after the transaction. YOU are responsible for monitoring your transactions and portfolio. <p>Conversation Starters • "Given my financial situation, should I choose a brokerage service? Why or why not?" Conversation Starters • "How will you choose investments to recommend to me?" Conversation Starters • "What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?"</p> <p>Additional Information: More specific information about the services we provide, including the specific investment strategies offered through our Programs, and the fees you pay in connection with the brokerage , Brokerage Services Disclosure Brochure available online at https://therockwellfinancialgroup.com/</p>
ITEM 3: FEES, COSTS, HOW DO YOU PAY FOR YOUR SERVICES?	What fees will I pay? <p>You will pay fees and costs whether you make or lose money on your investment. 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.</p> <p>Brokerage Account Fees:</p> <ul style="list-style-type: none"> Commissions: We receive a commission each time you buy or sell a security. These fees are paid from your brokerage account. Commission levels vary depending on the type of security and other factors. The 5% rule, also known as FINRA Rule 2121 or the 5% policy, is a guideline that states that broker-dealers should not charge more than 5% in commissions, which TRFG follows. Mark-ups and Mark-downs: When we buy securities from or sell securities to your account (also known as "principal transactions," described further in the section below), we profit from that transaction in the amount of a "mark-up" (when we are selling) or a "mark-down" (when we are buying). These amounts represent the difference between the value of the security and the amount by which you buy or sell it to us <p>Other Fees: In addition to those described above, you may be required to pay other fees such as margin interest if you borrow money from the Firm to purchase securities, or fees related to the withdrawal or transfer of cash or securities, all others fees will come from Hilltop Securities.</p> <p>Principal Transactions: When we recommend that you buy or sell securities, we may be the counterparty that sells you the security or buys it from your account. When that occurs, we have engaged in a "principal transaction." When principal transactions occur, we have an incentive to sell securities to you at a higher price (and buy them at a lower price) than we could if we sold the securities elsewhere. When principal transactions occur, we will disclose it to you, in writing, on your trade confirmation.</p> <p>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?</p> <ul style="list-style-type: none"> The fee schedule is in line with the Finra guideline, varying between 1% -5% on a transaction-by-transaction basis that you discuss with your broker/registered representative.

ITEM 3B CONFLICTS/STANDARD OF CONDUCT	<p>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?</p> <p>When we provide you with a recommendation 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 creates some conflicts with your interests. You should understand and ask us about these conflicts because they can affect the recommendations and investment advice we provide you. Here are some example to help you understand what this means:</p> <p>When we provide you with a recommendation as your broker-dealer, we have to act in your best interest and not put our interest ahead of your interests. You should understand and ask us about these conflicts because they can affect the recommendations we provide you.</p> <p>When our interests' conflict with yours, we must identify, disclose and in some cases mitigate that conflict</p> <ul style="list-style-type: none"> • Because we get paid only when you complete a transaction, we may have an incentive to encourage you to trade more often. • Because we get higher commissions from some products, then we may have an incentive to encourage you to buy those products that pay us more, even if other options are better for you. • When our interests' conflict with yours, we must identify, disclose and in some cases mitigate that conflict. <p>Additional Information: You will find additional information regarding conflicts in our Brokerage Services Disclosure Brochure and Firm Brochure, available online at https://therockwellfinancialgroup.com/</p> <p>Conversation Starter: How might your conflicts of interest affect me, and how will you address them?</p>
ITEM 3C HOW DO FINANCIAL FIRMS MAKE MONEY	<p>How do your financial professionals make money?</p> <p>Our financial professionals can make money in different ways, depending on the type of service we provide you. In general, the percentage of revenue paid to your financial professional increases if he or she hits certain revenue thresholds.</p> <p>You pay a commission or other sales fee for each transaction in your account.</p> <ul style="list-style-type: none"> • Commissions and fees will vary depending on the size of the transaction and the investment product purchased. • You may pay additional 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.
ITEM 4: DISCIPLINARY HISTORY	<p>Do you or your financial professionals have legal or disciplinary history?</p> <p>Yes</p> <p>For additional information go to investor.gov/crs for a free and simple search tool to research you and your financial professionals</p> <p>Conversation Starter: As a financial professional, do you have any disciplinary history? For what type of conduct?</p>
ITEM 5: ADDITIONAL INFORMATION	<p>We are required to:</p> <ul style="list-style-type: none"> • Analyze your financial situation, investment profile, and the investments we have available to meet your needs. • Satisfy certain disclosure, care and conflict of interest obligations (see below). <p>We are required to follow these legal obligations for all recommendations we provide to you.</p> <p>We are not required to:</p> <ul style="list-style-type: none"> • Follow this legal obligation for any other advice we may provide to you beyond sales recommendations. • Monitor your account unless you contract separately for that service. • Choose the lowest cost, least risky, or best performing product. <p>Visit investor.gov for a free, simple search tool to research our firm and our financial professionals.</p> <ul style="list-style-type: none"> • You may also visit FINRA for a free, simple search tool to research our firm and our financial professionals. • DIRECT – go to the following link brokercheck.finra.org for a review of your financial professional. <p>Your financial professional will provide you a copy upon request.</p> <p>Customer relation summary. It is also available online at https://therockwellfinancialgroup.com/crs You may also call 1 914 328 7030 to request up-to-date information and request a copy of this relationship summary</p> <p>You can find additional information about the services we provide, fees you pay, and conflicts of interest in our Brokerage Services Disclosure Brochure</p> <p>Conversation Starter: 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?</p> <p>By law, it is our obligation to work in your best interest. We must act in your best interest and not place our interest ahead of yours when we recommend an investment strategy involving securities.</p> <p>Your primary contact person is your registered representative.</p> <p>If you have concerns about how this person is advising, you or require additional information please contact TRFG Compliance Department at (914)328-7030</p>
ALERT	<ul style="list-style-type: none"> • Many financial professionals use titles, such as private client group, financial consultant, wealth manager, investment banking, or variations of that title. A firm or individual's title does NOT mean that they are acting in an advisory capacity.