

Given my financial situation, should I choose a brokerage service? Why or why not?

Parkside does not offer advice on whether you should choose a brokerage service. The decision to choose a brokerage service is up to you and should seek advice from a financial professional on what best serves your investment needs.

What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?

While Parkside the firm is relatively new having been established in 2019, the Registered Representatives (“RRs”) at Parkside average over 10 years’ experience working at broker dealers and all have bachelor degrees or the equivalent. In addition, these representatives have all passed the FINRA Series 7 or SIE and series 63 and are licensed with FINRA and the state of California. This experience allows them to assist in servicing customers at Parkside.

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?

There will be no fees or costs until you decide to invest that \$10,000 by purchasing stock in your Parkside account. When you decide to buy or sell stocks you will be charged a commission when we accept retail customers according to the fee schedule that will be provided to you before you place any trades.

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

You may be affected as Parkside will earn more in fees the more often you trade. We train, compensate and supervise Parkside Registered Representatives (“RRs”) to provide you with the best customer experience and assistance in ensuring your best interests are put first. RRs receive continuing education sessions throughout their tenure to ensure they understand compliance with SEC Rules and Regulations and specifically complying the SEC’s Regulation Best Interest. We have also established internal Policies and Procedures to identify conflicts of interests as they occur and mitigate these instances.

As a financial professional, do you have any disciplinary history and if so for what type of conduct?

No financial professionals at Parkside have a disciplinary history.

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?

Parkside does not assign registered representatives to manage client accounts. Email Parkside at support@parksidesecurities.com with any complaints or concerns with the subject heading: Attn: compliance or call 415-533-8946