

Customer Complaints Disclosure Statement

1. Introduction

Carta Capital Markets, LLC (“CCMX”) is subject to SEC and FINRA oversight and is focused on providing services to all of its customers in compliance with all federal, state and regulatory rules and regulations, including but not limited to customer and account protection. It is the policy of CCMX to respond to customer complaints, disputes and issues as soon as is reasonably practicable, to take each complaint seriously, to investigate each complaint, and to promptly take any applicable remedial actions necessary. The following resources are available to customers:

- [Financial Industry Regulatory Authority \(FINRA\) Investor Alerts](#)
- [Securities and Exchange Commission \(SEC\) Investor Alerts and Bulletins](#)

2. What is a Complaint?

FINRA defines a complaint under [FINRA Rule 4513](#) as any written statement, including e-mail, of a customer or any person acting on behalf of a customer, alleging a grievance involving the activities of those persons under the control of a broker-dealer in connection with the solicitation or execution of any transaction or the disposition of securities or funds of that customer.

The customer should promptly file a written complaint involving allegations of theft, misappropriation of funds or securities, or of forgery. Other reportable instances include, but are not limited to, issues relating to: 1) Order handling, trade execution, or confirmations; 2) Delivery of funds or securities; 3) Fees or commissions; 4) Inaccurate or misleading disclosures by financial professionals; 5) Suitability, or excessive trading or other account abuses; and 6) Opening, transferring, or closing accounts.

Any customer who identifies any suspected unauthorized activity in their CCMX brokerage account, whether via their online brokerage account interface, through review of account statements and confirms, or otherwise, should immediately contact CCMX at support@cartacapitalmarkets.com. CCMX staff will accept notification of any unauthorized activity and any complaints regarding brokerage products or services provided by CCMX, and will work diligently to investigate and remediate any such issues.

It is important to note that the fact that an investment has decreased in value or the customer may have lost money does not necessarily mean that CCMX or a representative of CCMX has engaged in misconduct. Investments in securities involve risks and there is no guarantee that investments will always be profitable, and there is no fund to compensate investors for losses they may have suffered as a result of selecting a particular investment which results in an incurred loss.

3. How are Complaints Handled by CCMX?

When a complaint is received by CCMX, it is documented and sent to the CCMX Compliance Department. All complaints and records of complaints are preserved by the CCMX Compliance Department and are reviewed and investigated by CCMX Compliance personnel. Response to a complaint sent directly to CCMX will typically be provided within 3 business days of receipt of the complaint.

4. Filing a Complaint

As a customer, you should gather all relevant records and documents associated with a complaint. These documents should be clearly identified so that they can be easily referenced in the complaint. Once filed, it is important to retain copies of the complaint and of all other related correspondence with CCMX. You can file a complaint as follows:

Physical Mailing: All physically mailed complaints should be directed to the CCMX Compliance Department at:

Carta Capital Markets, LLC
Attn: Compliance Department
One World Trade Center, 81st Floor
New York, NY 10007

Electronic Submission: You may file a complaint by emailing CCMX at the following email address:
customercomplaints@cartacapitalmarkets.com.