



June 25, 2024

Customer Relationship Summary

Elevation LLC ("Elevation") 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).

Free and simple tools are available to research firms and financial professionals at Investor.gov/CRS, which provides educational materials about broker-dealers, investment advisers, and investing. Brokercheck.finra.org provides pertinent facts including disciplinary history about member firms and individual registered representatives. To assist you in understanding your relationship with us, we have included questions for you to ask us following the [Q](#) symbols below.

What investment services and advice can you provide me?

Elevation Private Markets (EPM) offers common and preferred shares of late-stage and pre-IPO companies. EPM provides intermediary services to match buyers and sellers in secondary transactions of securities on a commission basis. These transactions take place either through the direct transfer of securities and payment between our customers or may use special purpose vehicles to pool customer funds. To participate in these transactions and open a customer account, all retail investors must suitability and accreditation requirements by presenting proof to Elevation. We do not make recommendations of securities, but instead act as your agent in the execution of the purchase or sale of securities. We do not offer investment monitoring, we do not exercise investment or discretionary authority, and we do not hold customer securities or cash. Further description of EPM's business can be found at <https://www.elevationsecurities.com/services/elevation-private-markets>.

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

Q: How will you choose investments to recommend to me?

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

What fees will I pay?

You, as seller or buyer of the securities, will pay our firm a fee for facilitating the transaction, which is a one-time transaction fee paid directly by you upon the closing of the transaction. Commissions and fees are detailed within the **Intermediary Services Agreement (ISA)** between you and Elevation, which you should read carefully. If you purchase a security via a special purpose vehicle, there may be additional fees that will also be detailed in the ISA.

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. Please make sure you understand what fees and costs you are paying.

Q: 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?

We do not provide recommendations. When we facilitate a transaction for you, we must act in your best interest and not put our interest ahead of yours. At the same time, our commissions are based on you completing the transaction which presents a conflict of interest as your representative makes no money until a transaction closes. You should understand and ask us about these conflicts because they affect the services and recommendations that we provide you.

Here are **examples** to help you understand what this means.

- Our brokerage services are limited to transaction execution and cover a limited selection of investments. Other firms could provide a wider range of choices, some of which may have lower costs, including lower commissions and fees.

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

How do your financial professionals make money?

Our firm, and the financial professionals registered with it, receive commissions for the execution of securities transactions from which their base salary and bonuses are paid. The compensation structure for each transaction may be different. For information regarding your specific transaction(s), please refer to the **Intermediary Services Agreement** pertaining to that specific transaction.

Do you or your financial professionals have legal or disciplinary history?

Yes. Visit brokercheck.finra.org or Investor.gov/CRS for a free tool to research our firm and our financial professionals.

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

Additional information

For additional information about our brokerage, please visit www.elevationsecurities.com. You can request additional copies of this Client Relationship Summary at 704-926-1100.

Q: Who is my primary contact person?

Q: Is he or she a representative of an investment adviser or a broker-dealer?

Q: Who can I talk to if I have concerns about how this person is treating me?