



Omega Securities, LLC

Client Relationship Summary (Form CRS)

December 27, 2022

Item 1. Introduction

Omega Securities, LLC (“Omega”, “Firm”, “We”, “Us”, “Our”) is registered with the Securities and Exchange Commission (“SEC”) as a broker-dealer and is a member of the Financial Industry Regulatory Authority (“FINRA”) as well as the Securities Investor Protection Corporation (“SIPC”). We have an affiliated entity, Omega Wealth Partners, Inc. (“OWP”) that offers investment advisory services. Registered representatives of Omega may also be licensed to offer investment advisory services through OWP. These services and their fees differ, and it is important for you to understand the differences.

This relationship summary explains the various services we offer, how we charge for those services, and conflicts of interest that exist when we provide our services.

To help you research firms and financial professional, free and simple tools are available at [Investor.gov/CRS](https://investor.gov/CRS), which also provides educational materials about broker-dealers, investment advisers, and investing. You should carefully consider which types of accounts and services are right for you.

Item 2. Relationships and Services

What investment services and advice can you provide me?

Omega offers brokerage services which are limited to the direct purchase of mutual funds, variable life insurance or annuities, and municipal securities. Omega does not use a clearing firm or central platform. All brokerage business is transacted directly with the sponsor or issuing company.

Your registered representative will gather information from you related to your financial goals, your assets, your investment timeline, and other pertinent information so that they can recommend an investment that works in your best interest. Please read all the offering, disclosure, or other documents they provide as they contain important information.

Although we do not provide ongoing monitoring of brokerage accounts, account reviews may be conducted periodically to determine whether to provide a recommendation.

Omega does not allow your registered representative to have any discretionary authority over the investments purchased in your brokerage account. You must provide approval for each trade. You, not your registered representative, make the final investment decisions for your account.

Omega does not have a minimum account size to maintain a brokerage account. However, individual sponsors/issuing companies may establish minimum requirements for establishing an account.

Additional Information

For more information about our services, we recommended visiting our website at <https://www.omegawp.com/>.

Conversation Starters

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

“How will you choose investments to recommend to me?”

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

Item 3. Fees, Costs, Conflicts and Standard of Conduct

What fees will I pay?

For investments in certain products like mutual funds and annuities, we receive transaction-based fees from the investment product sponsor in the form of asset-based sales charges (e.g. sales loads). These fees are based on the amount invested in a product and, depending on the product, may be based on how long you hold the investment. Our receipt of asset-based sales loads creates an incentive to recommend products or sponsors that include such charges. Variable products have a base annual expense as well as additional charges for any contract enhancements you may choose to purchase.

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.



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There may be additional fees charged by the investment product sponsor for expedited services, mailing, wiring, or other transaction fees. All these fees are described in the product offering documents.

Detailed information on our brokerage fees can be found in our [OSI Reg BI Disclosures](#) document available on our website.

Conversation Starters

"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?

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 of interest. You should understand and ask us about these conflicts because they can affect the recommendations that we provide to you. Below are some examples to help you understand what this means. If you have any questions about whether any of these situations could apply to your investments, ask your financial professional.

Compensation: Omega is paid a commission from the insurance or investment company for each contract sold and/or when you make an additional investment. Some investment types and/or companies may pay larger commissions for certain products. Some products pay additional compensation for marketing and distribution.

Limited Products: Omega only offers mutual funds and variable insurance products which limits the investment recommendation it can provide to you.

Conversation Starters

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

Additional Information: For more detailed information about our conflicts of interest, please review our SOI Reg BI Disclosure document.

How do your financial professionals make money?

Omega is paid a commission for new sales and transactions that add money to your investments. The rates that we are paid are set by the product issuer, as disclosed in their offering materials. Omega then pays your registered representative an agreed upon percentage of those commissions as compensation.

Occasionally, issuing companies may pay for, or reimburse registered representatives for product training, marketing costs or client events. These are considered "non-cash compensation" and are subject to approval by Omega.

Item 4. Disciplinary History

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

Yes. For a free and simple search tool to research Omega or its registered representatives, please visit [Investor.gov/CRS](https://investor.gov/CRS) or <https://brokercheck.finra.org/>.

Conversation Starters

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

Item 5. Additional Information

To find additional information about Omega and to request a copy of the *Customer Relationship Summary*, please go to <https://omegawp.com/> or send us an email at tammy@omegawp.com. If you would like to request up-to-date information as well as to request a copy of the relationship summary, please contact us via phone at 817-335-5739.

Conversation Starters

"Who is my primary contact person? Is he or she a representative of an investment advisor or a broker-dealer? Who can I talk to if I have concerns about how this person is treating me?"