



FINRA Public Disclosure Program

As a member of the Financial Industry Regulatory Authority (“FINRA”), Carta Capital Markets, LLC (“CCMX”) is required to provide to you information regarding the FINRA Public Disclosure Program for investors which allows you, the investor, to learn about the professional background, business practices, and conduct of FINRA member firms and their brokers.

FINRA’s BrokerCheck Hotline provides certain information regarding the disciplinary history of FINRA members and their associated persons in response to inquiries via:

- 1) FINRA’s toll-free telephone listing (1-800-289-9999); or
- 2) FINRA’s website (www.finra.org).

Additionally, an investor brochure that includes information concerning the FINRA Public Disclosure Program is available at no charge by calling the Public Disclosure Hotline or through the FINRA website.