

**RocketTrader, Inc.**  
**dba Quants Compete**  
**Form CRS Customer Relationship Summary**  
**March 27, 2023**

RocketTrader, Inc. *dba* Quants Compete (“Quants”) is an internet investment adviser registered with the U.S. Securities and Exchange Commission (“SEC”). The services of and the fees for brokerage and investment advisory services differ, and it is important for you to understand those differences. Free and simple tools are available to you to research Quants, other firms and financial professionals at [Investor.gov/CRS](https://www.investor.gov/CRS), where you can also find important educational materials about broker-dealers, investment advisers and investing.

**What investment and portfolio management services can you provide me?**

Quants provides investment advisory and associated portfolio management services (“Services”) on a discretionary basis through its proprietary algorithm (“Matching Algorithm”). In order to engage our discretionary Services, you must first register with Quants using our application (“Application”) and complete our Questionnaire, which in turn will provide us with the relevant data you exclusively provided through our Application. The results of the Questionnaire will be analyzed by our Matching Algorithm, and allow us to assess your risk tolerance, financial goals, and time horizon. Thereafter, exclusively through our Application, the Matching Algorithm will identify and apply the recommended automatic trading model(s) (each a “Model” and collectively the “Models”) that we believe most closely align with your financial goals, risk tolerance, and time horizon and contain the optimal asset allocation mix and diversification strategy for you, pursuant to the responses you provided to the Questionnaire. Next, you will use our Application to either create a new brokerage account with our custodian, Interactive Brokers LLC (the “Custodian”), or link your existing brokerage account to your account with us. Once connected with the Custodian, we will begin to manage your assets, specifically, placing discretionary trades within your brokerage account on your behalf. Our discretionary authority allows us to apply the respective Model to determine the type, timing, and amount of securities to be bought or sold for you, without consulting you first. We maintain this discretion until it is revoked (*e.g.*, by termination of our agreement or upon written instruction from you).

**Ask your financial professional the following questions:**

*Given my financial situation, should I choose an investment advisory 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?*

When using our Services, our Models primarily utilize equities, fixed income and/or cash management instruments, including mutual funds, stocks, ETFs, bonds and other financial products, and options. Quant’s advice, which is delivered via the Models, contain certain restrictions based on each Model’s particular strategy and is not limited to affiliated products. We review all client’s accounts on an ongoing basis, including when you notify us of a change to your financial situation; and we continuously monitor the performance and risk metrics associated with each of our Models in an effort to maintain the alignment between you and the Model applied to your account. Signing up with Quants is a straightforward process, and does not require an account minimum. *For further information about our Services and advice please review Items 4, 7, and 8 of our Form ADV Part 2A disclosure brochure.* Click here for a copy or go to [www.adviserinfo.sec.gov](https://www.adviserinfo.sec.gov)

**What fees will I pay?**

Quants charges an annualized fee of 0.95% of the total assets under management (“AUM”) in your account (the “Advisory Fee”), which is assessed monthly, in arrears, based on your total AUM as of the close of business on the last day of the preceding calendar month. Our Advisory Fee is deducted from your account directly by the Custodian as of the first business day of the next calendar month. You will continue to be charged the Advisory Fee on a monthly basis until you terminate your agreement with us. Our Advisory Fees are not prorated and are not negotiable.

**Ask one of our financial professionals the following questions:**

*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?*

Also, you will pay additional fees to third parties in connection with investments or recommendations made by Quants. Such fees can vary depending on the applicable Model, and are separate and distinct from the Advisory Fees that we assess. Such third-party fees can (as applicable), mutual fund 12b-1 fees, certain deferred sales charges on previously purchased mutual funds transferred into the account, other transaction related fees, IRA and Qualified Retirement Plan fees, “spreads” imposed by brokers and dealers representing implicit transaction costs, commissions, transfer taxes and transfer fees, administrative and software fees, and other fees and taxes on brokerage accounts and securities transactions. You will pay such fees and costs whether you

make or lose money on your investments, and such 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. *For further information about our fees and other costs associated with investing, along with applicable conflicts, please review Items 5, 10, and 14 of our Form ADV Part 2A disclosure brochure.* Click here for a copy or go to [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

***What are your legal obligations to me when acting as my investment adviser? How else does your firm make money and what conflicts of interest do you have?***

When we act as your investment adviser, 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 with your interests. You should understand and ask us about these conflicts because they can affect the investment advice that we provide to you. Here are some examples to help you understand what this means:

**Ask your financial professional:**

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

Because we charge an asset-based fee for our Services, the more assets that are in your account, the more you will pay in fees. This presents a conflict of interest as we have an incentive to encourage you to increase the assets in your account. When performing our Services, we require that you have an account with the Custodian, which will provide us access to the Custodian's brokerage trading platform and software. Under this arrangement with the Custodian, we receive certain products and services at no cost and that benefit us, but do not directly benefit our clients. Some of these products and services may assist us in the management and administration of our Services that are provided on behalf of your account and help develop our business. The receipt of such products and services creates a conflict of interest as it gives us an incentive to have our clients custody their accounts with the Custodian. For further information about our conflicts of interest, please review Items 4, 10, 11, 12, and 14 of our Form ADV Part 2A disclosure brochure. Click here for a copy or go to [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

***How do your financial professionals make money?***

Our financial professional is paid a salary and discretionary bonus, both of which are derived from a portion of the Advisory Fees. Neither such salary nor the bonus is based on or tied to the amount of clients that have been referred to us or the types of investment products we recommend to them. Matthew Jones, Ph.D., is an owner of Quants, and when applicable, can participate in the profits and losses of Quants. *For further information about compensation received by our professionals and any related conflicts of interest, please review our Form ADV Part 2B, which can be obtained here or by calling us at (510) 788-0774.*

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

No. Please go to [www.Investor.gov/CRS](http://www.Investor.gov/CRS) for a free and simple search tool to research us and our financial professionals.

**Ask your financial professional:**

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

**Ask your financial professional:**

*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?*

***Additional Information***

Additional information and a copy of this Form CRS can be found at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov) by searching "RocketTrader, Inc." or by calling us at (510) 788-0774.