

**RocketTrader, Inc.**  
**dba Quants Compete**  
**Form CRS Customer Relationship Summary**  
**June 25, 2021**

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](http://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’ proprietary algorithm evaluates the information you provide to us and generates a variety of different automatic trading models (“Models”), which are used to relay the Quants’ recommended investment portfolios as part of the Quants investment advisory and portfolio management services (the “Services”). These Services and the Models are tailored towards your needs and the Services are provided on a discretionary basis. Such discretionary authority allows us to decide through your respective Model the type and amount of securities to be bought or sold for your account and when to invest, 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). You are free at all times to accept or reject any of the Model’s recommendations, but because outside or independent transactions (transactions not provided through the Models) can adversely affect the performance of a Model, we recommend that before you participate in outside or independent transactions within your account, you “turn off” the Model being applied to your account to ensure that the functionality of the Model is not greatly impaired.

**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?*

For our Services, we will first collect relevant data from you exclusively through our online Questionnaire, which will be analyzed by our proprietary algorithm, and subsequently, used to match you with the Models that most closely align with your risk tolerance, time-horizon, financial objectives, and what we believe is the optimal asset allocation mix and diversification strategy for you. Once we have matched you to the Models that most closely align with your goals, you can either select from the recommended Models or you can permit us to automatically select the most appropriate Model on your behalf. Quants’ Models primarily utilize equities, fixed income and/or cash management instruments, including mutual funds, stocks, ETFs, bonds and other financial products, and options. Quants’ advice, which is delivered via the Models that contain certain restrictions based on each Model’s particular strategy, 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(s) you chose. Signing up with Quants is a straightforward process, and does not require an account minimum.

For further information about our Services and advice please read 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](http://www.adviserinfo.sec.gov)

***What fees will I pay?***

Quants charges different types of fees, including fees based on a percentage of assets under management (“AUM”) or fixed fees, which depend on the size of your account. If your account has up to \$5,000.00 in AUM, we charge a fixed fee of \$3.99 per month (the “Fixed Fee”). This Fixed Fee is assessed monthly, in advance, as of the first business day as of the first day of the calendar month. We do not prorate our Fixed Fees for accounts that are opened after the first day of any calendar month. If your account equals \$5,000.00 or more in AUM, we charge .95% of your total AUM, which is billed monthly in advance (the “Advisory Fee”). Our Advisory Fees are not negotiable. At any time, you can add additional Models to your account at an additional fee of \$1.99 per month (the “Additional Model Fee”) for each additional Model. For avoidance of doubt and example purposes only, once the total amount of funds in your account managed by Quants reaches \$5,000.00 or more in AUM in the aggregate, for each additional Model beyond the first Model, we will

**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?*

charge you our Advisory Fee on the total AUM plus the Additional Model fee of \$1.99 per month, which is associated with each additional Model you use. Quants does not charge a minimum annual portfolio management fee.

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, Fixed Fees, or Additional Model 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 and transfer taxes. 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.

*More detailed information about our fees and other costs associated with investing, along with applicable conflicts can be found in 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 investment management 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 Interactive Brokers, LLC (“Interactive Brokers”), which will provide us access to the Interactive Brokers brokerage trading platform and software. Under this arrangement, we receive certain products and services from Interactive Brokers at no cost and that benefit us, but do not directly benefit our clients. Some of these products and services assist us in the management and administration of our Services that are provided on behalf of your accounts 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 at Interactive Brokers. *More detailed information about our conflicts of interest can be found in 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 Fixed Fees, Advisory Fees, and Additional Model Fees. Neither the 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 as such (when applicable), can participate in the profits and losses of Quants.

*Additional information about the compensation received by our professionals and any related conflicts of interest are outlined in the 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.**