



TPEG Securities, LLC Disclosures

As of June 2020, the Securities and Exchange Commission (SEC) implemented a requirement for broker-dealers to provide investors with two new disclosure documents: Regulation Best Interest (Reg BI) and a Client Relationship Summary known as the "Form CRS." A primary goal of these two documents is to help investors gain greater insight into investor risks and elevate investor awareness of broker-dealers' compensation and potential conflicts of interest. TPEG Securities, LLC, an affiliate of Trinity Investors, encourages you to review our new disclosure documents.

Form CRS: The Form CRS is provided to help our potential customers make informed decisions about the services TPEG Securities offers. Its primary focus is on conflicts of interest and compensation. The Form CRS includes important information about the risks involved in private equity investing. The SEC requires broker-dealers to provide the Form CRS to a retail investor prior to or at the time of a recommendation.

Reg BI Disclosure: The Reg BI Disclosure expands on the Form CRS and provides valuable supplemental information for your consideration. The SEC requires a broker-dealer to provide the Reg BI disclosure to a retail investor prior to or at the time of a recommendation.

Customer Privacy Policy: The Privacy Policy lists the type of personal information collected when investing with Trinity. This information is not sold or given to any outside parties and is shared only on a need-to-know basis within the firm. Information is shared within the firm for the sole purpose of providing efficient financial services.

Customer Significant Business Disruption Disclosure: The Significant Business Disruption (SBD) disclosure details the procedures and contact details for TPEG Securities/Trinity Investors should a significant business disruption occur. Significant business disruptions can include extreme weather, terrorist actions, or loss of power or telecommunications.

Additional Disclosures: The Investor Education and Protection, Customer Complaint Disclosure, and SIPC Disclosure list contact details for FINRA, TPEG Securities, and SIPC. These disclosures also detail the procedure should an investor want to access BrokerCheck or file a complaint.

We encourage you to contact your Financial Professional or the firm's compliance officer, Pat Swanson, with any questions you may have at telephone number 713.204.6313.