

Cesta Capital LLC
Form CRS – Customer Relationship Summary
October 1, 2025

Cesta Capital LLC (“Cesta” or “We”) is registered with the U.S. Securities and Exchange Commission (“SEC”) as a broker-dealer and is a member of the Financial Industry Regulatory Authority (“FINRA”) and the Securities Investor Protection Corporation (“SIPC”). Brokerage and investment advisory services and fees differ, and it is important that you understand these differences.

Free and simple tools are available to research firms and financial professionals at <https://www.investor.gov/CRS>, which also provides educational materials about broker-dealers, investment advisers and investing.

What investment services and advice can you provide?

We do not offer investment advice. We provide brokerage services to retail and institutional investors, including the buying and selling of equities and options. Brokerage services are limited to these types of investments.

We offer non-proprietary electronic platforms for which investors can conduct trading. Investors can create their own custom trading and investment strategies, and the platforms allow investors to test and monitor the activity in their accounts. While prices vary for the trading platform, all such costs are passed along to the investor. The trading platform also offers market data packages. The costs of these packages are similar to each other, and all such fees are passed on to the investor. We receive none of the fees associated with platform or market data charges.

We do not make recommendations regarding securities, investment strategies or account types. We do not provide you with investment monitoring services, nor do we accept authorization from you to trade the account.

We require a minimum initial funding level for all accounts open at Cesta. All non-retirement accounts opened above \$25,000 are deemed margin day trading accounts.

Please visit <https://www.cestacap.com> to find our disclosures on day trading, extended trading hours risk, options trading risk, margin trading risk, and market volatility. For additional information about the services we provide, please contact us or visit our website <https://www.cestacap.com>.

Conversation Starters

Given my financial situation, should I choose an investment advisory service? Should I choose a brokerage service? Should I choose both types of services? Why or why not?

We are not an investment advisory firm, nor do we provide investment advisory services. When choosing a brokerage firm, you should consider your unique situation and investment needs.

What fees will I pay?

We charge commissions for trades on a transaction basis, that varies based on the volume of shares you trade – generally \$.002 - \$.004 equities per share. For options, the commission expense generally ranges from \$.30 - \$.50 per options contract. In addition, you are responsible for software fees, market data fees, routing fees, margin rates, various account maintenance fees. These fees will vary based on the volume of your trading activity, the type of trading you engage in, the data package you choose, and whether you engage in short selling. Margin and day trading allow you to leverage assets to increase your buying power. Margin interest rates vary per the base rate and debit size of your balance. The base rate may be adjusted at our discretion.

Please refer to <https://www.cestacap.com> for a detailed list of trading fees and expenses.

As a retail investor, you will be charged more if there are more trades in your account, and the firm may therefore have an incentive to encourage you to trade more often.

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.

How will you choose investments to recommend to me?

We will not choose investments or make any recommendations to you. You are solely responsible for your investments including, but not limited to, any profits, losses and fees.

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

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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?

We do not invest your funds. All investments are of your own choice. 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.

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

We do not make recommendations regarding securities, investment strategies or account types. The way we make money may create a potential conflict of interest. You should learn about and ask us about these conflicts, because they may affect the services we provide.

Here are some examples to help explain some conflicts:

If you trade using margin, you are borrowing money and paying interest on that money to trade for your account. We earn a portion of the interest you pay. The more margin you utilize, the more money we make.

Financial professionals at Cesta earn bonuses for opening new accounts. Accordingly, they are incentivized to open investor accounts.

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

No, Cesta Capital LLC and all its employees have no disciplinary history. You may visit <https://brokercheck.finra.org> to review our history. You can also visit investor.gov/CRS for a free and simple search tool to research our financial professionals.

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?

Individual registered representatives with Cesta Capital are representatives of a broker dealer and are not assigned to any account. You may speak with any of our representatives. If you have concerns regarding the registered representative who is assisting you, please contact us in writing by emailing bk@cestacap.com.