

RocketTrader, Inc.
dba Quants Compete
Form CRS Customer Relationship Summary
January 2, 2025

RocketTrader, Inc. *dba* Quants Compete (“Quants”) is an investment adviser registered with the State of Tennessee. Investment advisory services and fees differ from brokerage services, and it is important for you to understand the differences. Free and simple tools are available to help you research firms and financial professionals at Investor.gov/CRS, which also provides educational materials about broker-dealers, investment advisers, and investing.

What investment and portfolio management services can you provide me?

Quants provides investment advisory and portfolio management services (“Services”) on a discretionary basis. To engage our Services, you must complete an onboarding process, including filling out our Client Questionnaire, which provides us with essential information about your financial situation, risk tolerance, investment goals, and time horizon. This information enables us to assess your needs and develop a personalized investment strategy (“Strategy”) tailored to your unique objectives.

Based on the information you provide, Quants will manually create and implement your Strategy, including determining the appropriate asset allocation and diversification approach. To use our Services, you must establish or link a brokerage account with our designated Custodian, Interactive Brokers LLC (“Interactive Brokers” or “Custodian”). Once your account is connected, we will begin managing your portfolio by placing discretionary trades within your brokerage account on your behalf.

Discretionary authority allows us to make investment decisions—such as the type, timing, and amount of securities to buy or sell—without obtaining your prior approval for each transaction. This discretion remains in effect until revoked (e.g., through termination of our agreement or written notice from you). Our process emphasizes human expertise and judgment to ensure your portfolio aligns with your long-term goals.

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, we invest in a wide range of securities, including stocks, exchange-traded funds (ETFs), bonds, and options. Depending on your individual investment Strategy, we may also incorporate cash management techniques and other financial products as needed to align with your financial goals. Our advice is tailored to your specific needs and objectives and is not limited to affiliated products. We review all client accounts on an ongoing basis to ensure your portfolio remains aligned with your financial objectives and risk tolerance. Additionally, we encourage you to notify us promptly of any changes to your financial situation, as this may require adjustments to your Strategy. Signing up with Quants is a simple and accessible process with no account minimum required to start.

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

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, and such charge is deducted from your account as of the first business day of the next calendar month. Thereafter, you will be charged the Advisory Fee on a monthly basis until you terminate your agreement with us. Our Advisory Fees are not prorated. However, we welcome inquiries from larger account holders and institutional investors to discuss potential reduced rates or customized fee structures based on the size and scope of their investments.

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?

In certain cases, 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 Strategy, and are separate and distinct from the Advisory Fee 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 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.

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.

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 our Custodian, 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 with our 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.

How do your financial professionals make money?

Our financial professional is paid a salary and (if applicable) a discretionary bonus, both of which are derived from a portion of the Advisory 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 P. Jones, Ph.D., is an owner of Quants, and when applicable, can participate in the profits and losses of Quants.

Ask your financial professional:

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

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 contacting us at <https://quantscompete.com/contact/>.

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

No. Please go to www.Investor.gov/CRS for a free and simple search tool to research us and our financial professionals.

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 by searching “RocketTrader, Inc.” or by contacting us at <https://quantscompete.com/contact/>.