Fenix SM
SECURITIES

FINDER'S FEE DISCLOSURE STATEMENT

Account Number:								

The purpose of this Disclosure Statement is to comply with the requirements of FINRA Rule 2040,(c)(4), and to inform you, _____

_____ ("Client")

That _____ ("Finder")

currently serves as an unaffiliated Finder for Fenix Securities LLC, (FENIX), a registered Broker Dealer under FINRA.

Client hereby acknowledges receiving and understanding the following disclosures provided by Fenix:

- Finder and FENIX have entered into a written agreement whereby Finder will use its best efforts to solicit and refer as clients to FENIX those individuals or entities that it believes to be suitable and appropriate for the services provided by FENIX, in exchange for cash commissions to be paid to Finder by FENIX.

- FENIX will pay Finder_____ % of the commission fees paid per annum by Client to FENIX.

- FENIX will not charge Client any additional fees as a result of its agreement with Finder. The fees that FENIX will charge Client for commissions are the same as what it would customarily charge any new client who was not referred by Finder.

- Finder may make periodic contacts with Client as necessary to assist Client in understanding FENIX's services and/or obtain additional information from Client on behalf of FENIX.

- Finder is an independent contractor, and is not an affiliate, agent, representative, partner or employee of FENIX.

- Finder is not authorized to and will not provide investment advice or manage Investments on behalf of FENIX.

- Finder does not have authority to accept a client agreement on behalf of FENIX or to collect or receive payment in its own name for any of FENIX's services.

Acknowledgment of Receipt of Disclosures and Documents:

By signing below, Client acknowledges receiving this Finder's Fee Disclosure Statement, with all disclosures recited above. Client also acknowledges that by signing this finder's Fee Disclosure Statement, it is not entering into any relationship with Finder for advisory or brokerage services. Such services are only available pursuant to a separate agreement with Finder

✘
(Signature)

Print Name _____

Title
_____

Date
_____

✘ *If Joint*
(Signature)

Print Name _____
(Second Party, if Joint Account)

Date _____