

## ANTI-MONEY LAUNDERING PROCEDURES

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### IMPORTANT INFORMATION ABOUT PROCEDURES FOR OPENING A NEW ACCOUNT

Fenix Securities, LLC (“Fenix”) recognizes that the USAPATRIOT Act, as amended from time to time (the “Act”), imposes important obligations on all financial firms for the detection, deterrence and reporting of money laundering activities. It has established the following policies to ensure compliance with all laws and regulations regarding money laundering.

Prior to the opening of any new account, Fenix will document the identity, nature of business, income, source of funds, and investment objectives of each prospective customer. Therefore, we will request your driver’s license, passport or other identifying documents. On an on-going basis, Fenix will review account activity for evidence of transactions that may be indicative of money laundering activities. Every officer, employee, and associated person of Fenix is responsible for assisting in the firm’s efforts to uncover and report any activity that might constitute, or otherwise indicate or raise suspicions of, money laundering. To this end, Fenix provides continuing education and training of all such persons.

Fenix will comply with all trade and economic sanctions imposed by the U.S. Office of Foreign Assets Control against targeted foreign countries and shall cooperate fully with government agencies, self-regulatory organizations and law enforcement officials. As provided by the Act, Fenix may supply information about former, current or prospective customers to such bodies.