

Important Information You Should Know

PRIVACY STATEMENT OF AEON CAPITAL INC.

We at Aeon Capital Inc. are sensitive to the necessity of protecting your personal financial information. As a member of FINRA, we are required to collect personal information relating to you, your account and investment characteristics. This information is known as “non-public personal information”. We collect this information from various sources, primary applications and forms completed by you for us and from third-party providers. We use this information to provide you and your account with the highest level of professional service. Aeon Capital Inc. understands your concerns about the use and protection of this personal account information. We at Aeon Capital Inc. are committed to maintaining the highest level of safety and security for information you provide. Towards this goal, please note: We are dedicated to your personal account information. We will use this information to service your account and provide information about services or products you have requested, or which you may find of interest. We will not sell or distribute your information to any unaffiliated third parties; however, we may share certain information you provide in the same way as information is routinely shared in the conduct of standard brokerage accounts; for example, we may provide information in concert with regulatory requirements of certain agencies, such as: the internal revenue service, FINRA and other organizations to which we are responsible, or with which we are, or may become, affiliated; we may also provide information to other institutions, who may, or may not be affiliated or under common control with us, if such information is required to service your account (for example, we provide information to our clearing firm to allow them to appropriately service your account. You will receive a separate privacy notice from that firm), or if we feel that they may be situations to offer you products or services that you may find of interest. We will continue to observe these privacy guidelines for your information even if you are no longer a client. We provide you with this notice when you open your account and we will provide annual notification thereafter. Should we determine to change any of our policies pertaining to privacy, we will provide you advanced notice and give you the opportunity to “opt-out” of such disclosures.

CUSTOMER IDENTIFICATION PROGRAM NOTICE/ THIS IS A PUBLICATION OF FINRA

Important Information You Need to Know About Opening a New Account

To help the government fight the funding of terrorism and money laundering activities, federal law requires financial institutions to obtain, verify, and record information that identifies each person who opens an account.

This Notice answers some questions about your firm’s Customer Identification Program.

What types of information will I need to provide?

When you open an account, your firm is required to collect information such as the following from you:

- ◆ Your name
 - ◆ Date of birth
 - ◆ Address
 - ◆ Identification number
- US Citizen: taxpayer identification number (social security number or employer identification number)
 - Non-U.S. Citizen: taxpayer identification number, passport number, and country of issuance, alien identification card number, or government-issued identification showing nationality, residence, and a photograph of yourself.
You may also need to show your driver’s license or other identifying documents.

A corporation, partnership, trust or other legal entity may need to provide other information, such as its principal place of business, local office, employer identification number, certified articles of incorporation, government-issued business license, a partnership agreement, or a trust agreement.

U.S. Department of the Treasury, Securities and Exchange Commission, FINRA, and the New York Stock Exchange rules already require you to provide most of this information. These rules also may require you to provide additional information, such as your net worth, annual income, occupation, employment information, investment experience and objectives, and risk tolerance.

What happens if I don’t provide the information requested or my identity can’t be verified?

Your firm may not be able to open an account or carry out transactions for you. If your firm has already opened an account for you, they may have to close it.

We thank you for your patience and hope that you will support the financial industry’s efforts to deny terrorists and money launderers access to America’s financial system.

RULE 606 ORDER EXECUTION: The venue to which individual orders are sent for execution are available upon request. There is a quarterly report with this information available on the firm’s website www.aeoncapitalinc.com. Information for the previous 6 months will also be provided upon written request.

PAYMENT FOR ORDER FLOW DISCLOSURE: Aeon does not receive payment for order flow.

The Securities and Exchange Commission requires that all registered broker-dealers disclose their policies regarding receipt of “payment for order flow”. The Commission defines “payment for order flow” as “any monetary payments, services, property, or other

benefits that result in remuneration, compensation, or consideration to a broker or dealer from any broker or dealer, national securities exchange, registered securities association, or exchange member for execution, including but not limited to research, clearance, custody, products or services, reciprocal agreements for the provision of order flow adjustment of a broker or dealer's unfavorable trading errors, effort to participate as underwriter in public offerings; stock loans or shared interest accrued thereon; discounts, rebates, or any other reduction of or credits against any fee to, or expense or other financial obligation of, the broker or dealer routing a customer order that exceeds that fee, expense or financial obligation".

Mutual Funds Breakpoint Discounts

Before investing in mutual funds, it is important that you understand the sales charges, expenses, and management fees that you will be charged, as well as the breakpoint discounts to which you may be entitled. Understanding these charges and breakpoint discounts will assist you in identifying the best investment for your particular needs and may help you reduce the costs of your investment. You should contact your financial consultant to obtain a free Disclosure Statement. You may also visit FINRA's website www.finra.org for additional information.

MARGIN DISCLOSURE STATEMENT

When you purchase securities, you may pay for the securities in full or you may borrow part of the purchase price from your brokerage firm. If you choose to borrow funds from your firm, you will open a margin account with the firm. The securities purchased are the firm's collateral for the loan to you. If the securities in your account decline in value, so does the value of the collateral supporting your loan, and, as a result, the firm can take action, such as issue a margin call and/or sell securities in your account, in order to maintain the required equity in the account.

It is important that you fully understand the risks involved in trading securities on margin. These risks include the following:

You can lose more funds than you deposit in the margin account. A decline in the value of securities that are purchased on margin may require you to provide additional funds to the firm that has made the loan to avoid the forced sale of those securities or other securities in your account.

The firm can force the sale of securities in your account. If the equity in your account falls below the maintenance margin requirement under the law, or the firm's higher "house" requirements, the firm can sell the securities in your account to cover the margin deficiency. You will also be responsible for any shortfall in the account after such a sale.

The firm can sell your securities without contacting you. Some investors mistakenly believe that a firm must contact them for a margin call to be valid, and that the firm cannot liquidate securities in their accounts to meet the call unless the firm has contacted them first. This is not the case. Most firms will attempt to notify their customers of margin calls, but they are not required to do so. However, even if a firm has contacted a customer and provided a specific date by which the customer can meet a margin call, the firm can still take necessary steps to protect its financial interests, including immediately selling the securities without notice to the customer.

You are not entitled to choose which security in your margin account is liquidated or sold to meet a margin call. Because the securities are collateral for the margin loan, the firm has the right to decide which security to sell in order to protect its interests.

The firm can increase its "house" maintenance margin requirements at any time and is not required to provide you with advance written notice. These changes in firm policy often take effect immediately and may result in the issuance of a maintenance margin call. Your failure to satisfy the call may cause the member to liquidate or sell securities in your account.

You are not entitled to an extension of time on a margin call. While an extension of time to meet margin requirements may be available to customers under certain conditions, a customer does not have a right to the extension.

EXCESS SECURITIES INVESTOR PROTECTION CORP INSURANCE COVERAGE

Aeon Capital Inc. is a member of SIPC, which protects securities of customers of its members up to \$500,000 (including \$250,000 for claims of cash). Both SIPC and the additional coverage (provided through our clearing firm) provides protection in the event of a member firm failure and do not insure against market decline. See www.sipc.org for more information.

Aeon Capital Inc. (AEON) Business Continuity Planning

AEON has developed a Business Continuity Plan on how we will respond to events that significantly disrupt our business. Since the timing and impact of disasters and disruptions is unpredictable, we will have to be flexible in responding to actual events as they occur. With that in mind, we are providing you with this information on our business continuity plan. For more information see our website at www.aeoncapitalinc.com, or contact your financial representative.

Our Business Continuity Plan – We plan to quickly recover and resume business operations after a significant business disruption and respond by safeguarding our employees and property, making a financial and operational assessment, protecting the firm's books and records, and most importantly allowing our customers to transact business. In short, our business continuity plan is designed to permit our firm to resume operations as quickly as possible, given the scope and severity of the significant business disruption.

Our business continuity plan addresses: data back up and recovery; all mission critical systems; financial and operational assessments; alternative communications with customers, employees, and regulators; alternate physical location of employees; critical supplier, contractor, bank and counter-party impact; regulatory reporting; and assuring our customers prompt access to their funds and securities if we are unable to continue our business.

Our clearing firm backs up our important records in a geographically separate area. While every emergency situation poses unique problems based on external factors, such as time of day and the severity of the disruption, we have been advised by our clearing firm that its objective is to restore its own operations and be able to complete existing transactions and accept new transactions and payments. Your orders and requests for funds and securities could be delayed during this period.

Varying Disruptions – Significant business disruptions can vary in their scope, such as only our firm, a single building housing our firm, the business district where our firm is located, the city where we are located, or the whole region. Within each of these areas, the severity of the disruption can also vary from minimal to severe. In a disruption to only our firm or a building housing our firm, we will transfer our operations to a local site when needed and expect to recover and resume business as soon as possible. In a disruption affecting our business district, city, or region, we will transfer our operations to a site outside of the affected area and recover and resume business as soon as possible. In either situation, we plan to continue in business, transfer operations to our clearing firm if necessary, and notify you through our web site or our customer emergency number, how to contact us. If the significant business disruption is so severe that it prevents us from remaining in business, we will assure our customer's prompt access to their funds and securities.

Cyber Security Disclosure – It is the policy of Aeon Capital Inc. ("AEON") to protect customers' sensitive information from being compromised when disseminated through electronic communications. AEON strongly encourages all customers and authorized third parties to encrypt all customer information when sending documents to AEON.

Senior Financial Exploitation - Trusted Contact Person

With respect to paragraph (a)(1)(F) of Rule 4512, at the time of account opening a member shall disclose in writing, which may be electronic, to the customer that the member or an associated person of the member is authorized to contact the trusted contact person and disclose information about the customer's account to address possible financial exploitation, to confirm the specifics of the customer's current contact information, health status, or the identity of any legal guardian, executor, trustee or holder of a power of attorney, or as otherwise permitted by [Rule 2165](#). With respect to any account that was opened pursuant to a prior FINRA rule, a member shall provide this disclosure in writing, which may be electronic, when updating the information for the account pursuant to paragraph (b) of this Rule either in the course of the member's routine and customary business or as otherwise required by applicable laws or rules.

MSRB

AEON is registered with the U.S. Securities and Exchange Commission and the Municipal Securities Rulemaking Board; the website address for the Municipal Securities Rulemaking Board is www.msrb.org; Also, availability of the customer investor brochure is posted on the website of the Municipal Securities Rulemaking Board The brochure describes the protections that may be provided by the Municipal Securities Rulemaking Board rules and how to file a complaint with an appropriate regulatory authority.

FEES AND CHARGES

You understand that Aeon Capital Inc. may charge and collect commissions and other fees for executions, and any other services to you, and agree to pay such commissions and fees at the prevailing rates. You understand further that such fees may be charged from time to time, including an annual service and/or inactivity fee disclosed with your account statement, and you agree to be bound thereby. Fees, charges and supplemental commissions may vary by branch office. Check with your financial consultant.

FINRA WEB SITE: For more information on the firm and/or your financial representative, visit FINRA's website (Broker Check) at www.finra.org. This information is also available on the AEON website.

