



## DOL PTE 2020-02 Client Disclosure

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**Department of Labor regulation requires that we provide retirement account customers with an affirmative statement that Aegis Capital Corp. (“Aegis”) is acting in a fiduciary capacity regarding the handling of your retirement account(s).**

When an Aegis financial professional provides investment advice to you regarding your retirement plan account or individual retirement account, they are acting as a fiduciary within the meaning of Title I of the Employee Retirement Income Security Act of 1974 (“ERISA”) and/or the Internal Revenue Code, as applicable, which are laws governing retirement accounts. The way we make money creates a conflict with your interests, so we operate under a rule that requires us to act in your best interest and not put our interest ahead of yours.

Under this rule’s provisions, we must:

- Meet a professional standard of care when making investment recommendations (give prudent advice);
- Never put our financial interests ahead of yours when making recommendations (give loyal advice);
- Avoid misleading statements about conflicts of interest, fees, and investments;
- Follow policies and procedures designed to ensure that we give advice that is in your best interest;
- Charge no more than is reasonable for our services; and
- Give you basic information about conflicts of interest.

Please refer to our Form CRS (Customer Relationship Summary) and Form CRS Disclosure Supplement for additional information concerning conflicts of interest and the fees and expenses associated with your Aegis account.