

ARK Global LLC Disclosures

ARK Global LLC is broker-dealer, and a member of FINRA and SIPC. Information pertaining to the firm and its registered persons are available through [FINRA's Broker Check](#) System or by calling the FINRA's Broker Check Hotline at (800) 289-9999. The firm also operates as a SEC Municipal Advisor. Information pertaining to the MSRB and Municipal Advisors is available at www.msrb.org.

ARK Global engages in two primary businesses. The first is in providing consultative services to institutional investment managers seeking guidance on marketing and business development. The second is that of an outsourced strategic marketing partner who assists institutional investment managers and Funds in marketing consultation and distribution of its investment strategies. For its services ARK Global receives a fee from the managers or Funds with whom it contracts. Fees paid to ARK Global shall not increase the fees that are charged to any investor marketed to by ARK Global for any investment. ARK Global has a financial incentive to refer investors on behalf of the managers and Funds it represents. ARK Global will not receive any compensation other than what is expressly defined within its formal written Agreements with each investment manager.

Customer Identification Program

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. 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/information:
 - U.S. Citizen: taxpayer identification number (SSN or EIN)
 - 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 you. You may also need to show your driver's license or other identifying documents.
 - If you are opening the account on behalf of an institutional investor, a series of documents may be provided to demonstrate proof of the entity depending on the institution's structure. 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. The U.S. Department of the Treasury, Securities and Exchange Commission, NASD, and 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. If you are unable or unwilling to provide the required information, 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.

Customer Complaints

Any customer who has a complaint regarding any conduct of any associated person of ARK Global contact Sandra Powers, CEO and CCO, directly. Sandra can be reached by telephone at 800-676-2921 x 4540 or by e-mail at powers@arkglobalonline.com or in writing at ARK Global LLC 44 Washington Street Suite 100 Wellesley Hills, MA 02481.

Code of Ethics

ARK Global LLC, a Registered Broker-Dealer, is committed to promoting integrity and the highest standard of business conduct in all of its business endeavors. ARK Global maintains a Code of Ethics as an active part of our best practices firm wide initiative. Clients are welcome to request a copy of our Code of Ethics at any time by emailing ARK Global LLC at info@arkglobalonline.com.

SIPC Disclosure

As required by FINRA Rule 2343, information regarding the Securities Investors Protection Corporation (SIPC), including a SIPC brochure, may be obtained by contacting SIPC via its web site at www.sipc.org or by telephone at (202) 371-8300.

MSRB Disclosure

The MSRB has made available to all Municipal Advisory clients a [Municipal Advisory Client Brochure](#), which is posted on the MSRB website and describes the protections that may be provided by the MSRB rules and how to file a complaint with an appropriate regulatory authority.

FINRA BrokerCheck Disclosure

As required by FINRA Rule 2280, ARK Global LLC is providing customers with the following information about the FINRA BrokerCheck Program (formerly known as the FINRA Public Disclosure Program). FINRA BrokerCheck should be your first resource tool to learn about the professional background, registration/license statuses and conduct of FINRA registered firms and their registered brokers. FINRA BrokerCheck was designed to be simple and efficient in its delivery of information. FINRA makes information on securities professionals and firms available online, and, in most cases, detailed report information is returned to you by email within minutes of your request. The avenues available to obtain BrokerCheck information are as follows:

- FINRA BrokerCheck Hotline Number: 1-800-289-9999
- FINRA Regulation Website Address: www.finra.org.

For further information on the program you may also obtain a BrokerCheck Program brochure. The FINRA Public Disclosure Program is governed by federal law, Securities and Exchange Commission ("SEC") regulations and FINRA rules approved by the SEC. State Securities regulators also will provide information on brokers and securities firms to the general public. These State programs are governed by State laws and regulations which differ from the laws, regulations and rules governing the FINRA Regulation Public Disclosure Program. For a list of State securities regulators please visit www.nasaa.org.

FINRA believes its Public Disclosure Program is an important investor protection service, a view shared by Congress, the Securities and Exchange Commission ("SEC"), and the North American Securities Administrators Association ("NASAA").

The ARK Global site is only intended for interested investors residing in states and countries in which ARK Global is qualified to conduct broker/dealer related business.