



FINRA BrokerCheck and MSRB Brochure Disclosure Information

Pursuant to FINRA Rules 2267 and 4530 and MSRB Rule G-10, please see the following information and links pertaining to FINRA BrokerCheck, MSRB Investor Brochure and Customer Complaint Reporting:

In compliance with Consolidated FINRA Rule 2267 and MSRB Rule G-10, Perkins Fund Marketing provides you with the following information:

FINRA BrokerCheck Hotline Number – (800) 289-9999 FINRA Website Address – www.finra.org

FINRA BrokerCheck Address – <http://brokercheck.finra.org/Firm/Summary/45642>

MSRB Website Address - <http://www.msrb.org/>

MSRB Investor Disclosure - <http://msrb.org/msrb1/pdfs/MSRB-Investor-Brochure.pdf>

BrokerCheck is a free tool to help investors research the professional backgrounds of current and former FINRA-registered brokerage firms and brokers. It should be the first resource investors turn to when choosing whether to do business or continue to do business with a particular firm or individual.

Through BrokerCheck, investors can:

- Search for information about brokers and brokerage firms
- Search for information about investment adviser firms and representatives
- Obtain online background reports, if available
- Link to additional resources such as educational tools for investors

The information made available through BrokerCheck is derived from the Central Registration Depository (CRD[®]), the securities industry online registration and licensing database. Information in CRD is obtained through forms that brokers, brokerage firms and regulators complete as part of the securities industry registration and licensing process.

The MSRB investor brochure entitled “Information for Municipal Securities Investors”, available and posted on the MSRB’s website (link above), describes protections that may be provided under MSRB rules and how to file a complaint with the appropriate regulatory authority.

U.S. Patriot Act

Federal law requires all financial institutions to obtain, verify, and record information that identifies each individual or institution that opens an account or establishes a customer relationship with Perkins. Upon commencement of a customer relationship with Perkins, you will be required to provide your name, address, and other identification information. This information will be used to verify your identity. As appropriate, Perkins may, in its discretion, ask for additional documentation of information. If all required documentation or information is not provided, Perkins may be unable to establish a relationship with you. In the course of complying with the, U.S. Patriot Act, Perkins may be required to disclose information about you to governmental agencies.

Complaint/Dispute Reporting Information

Should you have a complaint or dispute, please first contact

Gilman C. Perkins (Chip) at Perkins Fund Marketing LLC 107 John Street, 3rd Floor, Southport, CT 06890 or via telephone at (203) 418-2000.