

INTRODUCTION

Austin Atlantic Capital Inc., “AAC” or the “Firm” is registered with the Securities and Exchange Commission (SEC) as a broker- dealer and is a member of the Financial Industry Regulatory Authority (FINRA) and the Securities Investor Protection Corporation (SIPC). Brokerage and investment advisory services and fees differ, and it is important for you to understand these differences. Free and simple tools are available to research firms and financial professionals at [Investor.gov/CRS](https://www.investor.gov/CRS), which also provides educational materials about broker-dealers, investment adviser, and investing.

WHAT INVESTMENT SERVICES AND ADVICE CAN YOU PROVIDE ME?

AAC serves as a statutory distributor of mutual funds, focusing on facilitating the sale and distribution of mutual fund shares primarily to institutional clients. Unlike traditional broker-dealers, AAC does not engage in clearing agreements or handle client accounts. Instead, it specializes in promoting mutual funds, processing purchases and redemptions, and providing related services to institutional investors. AAC operates in compliance with securities regulations governing mutual fund distribution and does not hold or introduce client accounts.

AAC SERVICES				
Type of Account/Relationship	Buy Securities	Sell Securities	Securities Recommendations	Account Monitoring
Traditional Brokerage	No	No	No	No
Introduced Brokerage	No	No	No	No

For additional information, please see the Firm’s Regulation Best Interest Disclosures and other applicable documents. Please also visit our website at www.austinatlantic.com or visit www.sec.gov / www.finra.org. Please ask us for more information.

Conversation Starters. Ask your financial professional –

- Why or why not?
- How will you choose investments to recommend to me?
- What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?

WHAT FEES WILL I PAY?

As a statutory distributor, Austin Atlantic Capital Inc (AAC) does not work with retail investors or directly distribute mutual funds to clients. Therefore, there are no fees for retail investors to consider as they would not be a client of AAC. However, for brokerage services, retail investors typically incur commissions on each transaction performed in their account.

You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce any amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying.

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Conversation Starters. Ask your financial professional –

Help me understand how these fees and costs might affect my investments. If I give you \$10,000 to invest, how much will go to fees and costs, and how much will be invested for me?

WHAT ARE YOUR LEGAL OBLIGATIONS TO ME WHEN PROVIDING RECOMMENDATIONS? HOW ELSE DOES YOUR FIRM MAKE MONEY AND WHAT CONFLICTS OF INTEREST DO YOU HAVE?

As Austin Atlantic Capital Inc (AAC) exclusively serves institutional clients and does not engage with retail investors, there are no legal obligations or conflicts of interest for retail investors to consider. Therefore, AAC does not provide recommendations or generate revenue through retail investor transactions.

If there are any situations where we might have a conflict of interest when recommending services, products, or professionals to you, we'll let you know promptly. We have rules in place to review on these potential conflicts we've mentioned. We give guidance to clients without any bias or favoritism, and our recommendations for investments are based on what's best for your financial situation and goals.

For additional information on these and other conflicts, visit: www.austinatlantic.com

Ask your Financial Professional (if applicable)

- How might your conflicts of interest affect me, and how will you address them?

HOW DO YOUR FINANCIAL PROFESSIONALS MAKE MONEY?

As AAC exclusively serves institutional clients and does not engage with retail investors, our financial professionals do not receive compensation based on retail investor accounts. Instead, compensation structures may involve a percentage of total revenues generated in each institutional account or client. Additionally, some products offer ongoing compensation (trailers), potentially incentivizing financial professionals, some of whom may be dually registered, to recommend products with higher fees or ongoing payments. For more information on types of compensation, visit: www.austinatlantic.com

DO YOU OR YOUR FINANCIAL PROFESSIONALS HAVE LEGAL OR DISCIPLINARY HISTORY?

Yes. AAC has legal or disciplinary history that is currently disclosed on Form BD Item 11.E and is publicly available through Broker Check following the link: <https://brokercheck.finra.org/firm/summary/43981>. Our financial professionals do not have legal or disciplinary history. Please use FINRA Broker Check to review any disciplinary history of our financial professionals. <https://brokercheck.finra.org/>

Ask your Financial Professional (if applicable)

- As a financial professional, do you have any disciplinary history? For what type of conduct?

For additional information about our brokerage or investment advisory services or to request a copy of the relationship summary, please contact us at krowe@austinatlantic.com. If you would like additional, up-to-date information or a copy of this disclosure, please call 305- 507-1536

Ask your Financial Professional (if applicable)

- Who is my primary contact person? Who can I talk to if I have concerns about how this person is treating me?