

Item 1 Cover Page

A.

Gerard J. Frigon

Taylor Frigon Family Office, LLC

Brochure Supplement

Dated: April 1, 2026

Contact: Douglas E. Connolly, Chief Compliance Officer
18835 N. Thompson Peak Pkwy, Suite C-200
Scottsdale, Arizona 85255

B.

This Brochure Supplement provides information about Gerard J. Frigon that supplements the Taylor Frigon Family Office, LLC Brochure; you should have received a copy of that Brochure. Please contact Douglas E. Connolly, Chief Compliance Officer, if you did *not* receive Taylor Frigon Family Office, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Gerard J. Frigon is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Education Background and Business Experience

Gerard J. Frigon was born in 1962. Mr. Frigon graduated from The University of California, Santa Barbara in 1985, with a B.A. degree in Business/Economics. Mr. Frigon has been an investment adviser representative, Chief Investment Officer, and Managing Member of Taylor Frigon Capital Management, LLC since November 2006. Mr. Frigon has also been an investment adviser representative and Owner of Taylor Frigon Family Office, LLC since January 2023. Mr. Frigon was employed as First Vice-President/Investments with Merrill Lynch & Co. from December 1986 to November 2006.

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

- A. **Other Investment Adviser Firm.** Mr. Frigon also serves as an owner and an investment adviser representative of Taylor Frigon Capital Management, LLC (“*TFCM*”), an affiliated SEC registered investment advisor firm. Mr. Frigon may refer certain clients to *TFCM* for advisory services. The recommendation by Mr. Frigon that a client engage the investment advisory services of *TFCM* presents a **conflict of interest** as Mr. Frigon, one of the Registrant’s Owners, may receive a direct economic benefit from any such referral. No client is under any obligation to engage the services of *TFCM*. **The Registrant’s Chief Compliance Officer, Douglas E. Connolly, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**

Taylor Frigon Capital Partners, LP and Taylor Frigon Growth Partners, LP. Taylor Frigon Capital Management, LLC is affiliated with private funds and serves as the financial adviser to Taylor Frigon Capital Partners, LP and Taylor Frigon Growth Partners, LP (the “*Funds*”). The general partner of the *Funds* is Taylor Frigon Capital Advisors, LLC, of which Mr. Frigon is the one hundred percent (100%) owner. Mr. Frigon may recommend, on a non-discretionary basis, that qualified clients allocate a portion of their investment assets to the *Funds*.

Conflict of Interest: Because Mr. Frigon, through his ownership interest in the *Funds*, may receive an enhanced economic benefit from a client’s investment in the *Funds* (i.e., distributions in accordance with his ownership interest), Mr. Frigon has a conflict of interest in recommending to clients that they consider investing in the *Funds*. **The Registrant’s Chief Compliance Officer, Douglas E. Connolly, remains available to address any questions that a client or prospective client may have regarding the Fund and any corresponding conflicts of interest.**

- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

Item 5 Additional Compensation

Mr. Frigon’s annual compensation is based, in part, on the amount of assets under management that Mr. Frigon introduces to the Registrant. Accordingly, Mr. Frigon has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client’s best interests.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant’s policies and procedures manual. The primary purpose of the Registrant’s Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section

203(e)(6) of the Investment Advisers Act of 1940 (the “*Act*”). The Registrant’s Chief Compliance Officer, Douglas E. Connolly, is primarily responsible for the implementation of the Registrant’s policies and procedures and overseeing the activities of the Registrant’s supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant’s supervision or compliance practices, please contact Mr. Connolly (855) 226-0280.

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A.

John Ferebee

Taylor Frigon Family Office, LLC

Brochure Supplement

Dated: April 1, 2026

Contact: Douglas E. Connolly, Chief Compliance Officer
18835 N. Thompson Peak Pkwy, Suite C-200
Scottsdale, Arizona 85255

B.

This Brochure Supplement provides information about John Ferebee that supplements the Taylor Frigon Family Office, LLC Brochure; you should have received a copy of that Brochure. Please contact Douglas E. Connolly, Chief Compliance Officer, if you did *not* receive Taylor Frigon Family Office, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about John Ferebee is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Education Background and Business Experience

John Ferebee was born in 1943. Mr. Ferebee graduated from Arizona State University in 1966, with a Bachelor of Science degree in Business/Geography. Mr. Ferebee has been employed at Taylor Frigon Capital Management, LLC as Client Relationship Manager since January 2026 and as Director of Wealth Planning with Taylor Frigon Capital Management, LLC from May 2008 to December 2025. Mr. Ferebee has also been employed at Taylor Frigon Family Office, LLC as Client Relationship Manager since December 2025 and acted as Director of Wealth Planning since January 2023. Mr. Ferebee was employed as Senior Vice President and Director of Retail Lending with Rabobank from January of 2000 to May of 2008.

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

- A. **Other Investment Adviser Firm.** Mr. Ferebee also serves as an investment adviser representative of Taylor Frigon Capital Management, LLC (“*TFCM*”), an affiliated SEC registered investment advisor firm. Mr. Ferebee may refer certain clients to *TFCM* for advisory services. The recommendation by Mr. Ferebee that a client engage the investment advisory services of *TFCM* presents a **conflict of interest** as Mr. Ferebee, may receive a direct economic benefit from any such referral. No client is under any obligation to engage the services of *TFCM*. **The Registrant’s Chief Compliance Officer, Douglas E. Connolly, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

Item 5 Additional Compensation

Mr. Ferebee’s annual compensation is based, in part, on the amount of assets under management that Mr. Ferebee introduces to the Registrant. Accordingly, Mr. Ferebee has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client’s best interests.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant’s policies and procedures manual. The primary purpose of the Registrant’s Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the “*Act*”). The Registrant’s Chief Compliance Officer, Douglas E. Connolly, is primarily responsible for the implementation of the Registrant’s policies and procedures and overseeing the activities of the Registrant’s supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant’s supervision or compliance practices, please contact Mr. Connolly (805) 226-0280.

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A.

Matthew S. Sepulveda

Taylor Frigon Family Office, LLC

Brochure Supplement

Dated: April 1, 2026

Contact: Douglas E. Connolly, Chief Compliance Officer
18835 N. Thompson Peak Pkwy, Suite C-200
Scottsdale, Arizona 85255

B.

This Brochure Supplement provides information about Matthew S. Sepulveda that supplements the Taylor Frigon Family Office, LLC Brochure; you should have received a copy of that Brochure. Please contact Douglas E. Connolly, Chief Compliance Officer, if you did *not* receive Taylor Frigon Family Office, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Matthew S. Sepulveda is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Education Background and Business Experience

Matthew S. Sepulveda was born in 1993. Mr. Sepulveda graduated from California State University, Sacramento in 2016, with a Bachelor of Arts degree in Economics/Government and from Boston University in 2017 with a Master of Arts degree in Economics. Mr. Sepulveda has been employed as a Research Analyst with Taylor Frigon Capital Management, LLC since February 2018. Mr. Sepulveda has also been a Research Analyst of Taylor Frigon Family Office, LLC since January 2023.

Mr. Sepulveda has been a CFA[®] Charterholder since 2022. CFA[®] designates an international professional certificate that is offered by the CFA Institute. The Chartered Financial Analyst[®] (CFA[®]) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

There are currently more than 200,000 CFA® Charterholders working in over 170 countries and regions. To earn the CFA® charter, candidates must: (1) pass three sequential, six-hour examinations; (2) have at least four years of qualified professional investment experience; (3) join CFA Institute as members; and (4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

High Ethical Standards

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA® Charterholders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

Global Recognition

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA® charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA® Charterholders —often making the charter a prerequisite for employment. Additionally, regulatory bodies in 38 countries/territories recognize the CFA® charter as a proxy for meeting certain licensing requirements, and more than 466 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

Comprehensive and Current Knowledge

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.

The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

- A. **Other Investment Adviser Firm.** Mr. Sepulveda also serves as an investment adviser representative of Taylor Frigon Capital Management, LLC (“*TFCM*”), an affiliated SEC registered investment advisor firm. Mr. Sepulveda may refer certain clients to *TFCM* for advisory services. The recommendation by Mr. Sepulveda that a client engage the investment advisory services of *TFCM* presents a **conflict of interest** as Mr. Sepulveda, may receive a direct economic benefit from any such referral. No client is under any obligation to engage the services of *TFCM*. **The Registrant’s Chief Compliance Officer, Douglas E. Connolly, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

Item 5 Additional Compensation

None.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant’s policies and procedures manual. The primary purpose of the Registrant’s Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the “*Act*”). The Registrant’s Chief Compliance Officer, Douglas E. Connolly, is primarily responsible for the implementation of the Registrant’s policies and procedures and overseeing the activities of the Registrant’s supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant’s supervision or compliance practices, please contact Mr. Connolly (805) 226-0280.

Item 1 Cover Page

A.

Jennifer Oanh Hall

Taylor Frigon Family Office, LLC

Brochure Supplement

Dated: April 1, 2026

Contact: Douglas E. Connolly, Chief Compliance Officer
18835 N. Thompson Peak Pkwy, Suite C-200
Scottsdale, Arizona 85255

B.

This Brochure Supplement provides information about Jennifer Oanh Hall that supplements the Taylor Frigon Family Office, LLC Brochure; you should have received a copy of that Brochure. Please contact Douglas E. Connolly, Chief Compliance Officer, if you did *not* receive Taylor Frigon Family Office, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Jennifer Oanh Hall is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Education Background and Business Experience

Jennifer Oanh Hall was born in 1970. Ms. Hall graduated from Worcester Polytechnic Institute in 1992, with a Bachelor of Science degree in Civil Engineering. Ms. Hall has been employed with Taylor Frigon Capital Management, LLC since May 2013. From May 2013 through November 2018, she was a Data Analyst and was the Chief Compliance Officer from November 2018 through December 2023. Ms. Hall has also been an investment adviser representative since January 2023 and was Chief Compliance Officer of Taylor Frigon Family Office, LLC from January 2023 through December 2023.

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

- A. **Other Investment Adviser Firm.** Ms. Hall also serves as an investment adviser representative of Taylor Frigon Capital Management, LLC (“*TFCM*”), an affiliated SEC registered investment advisor firm. Ms. Hall may refer certain clients to *TFCM* for advisory services. The recommendation by Ms. Hall that a client engage the investment advisory services of *TFCM* presents a **conflict of interest** as Ms. Hall, may receive a direct economic benefit from any such referral. No client is under any obligation to engage the services of *TFCM*. **The Registrant’s Chief Compliance Officer, Douglas E. Connolly, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

Item 5 Additional Compensation

None.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant’s policies and procedures manual. The primary purpose of the Registrant’s Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the “*Act*”). The Registrant’s Chief Compliance Officer, Douglas E. Connolly, is primarily responsible for the implementation of the Registrant’s policies and procedures and overseeing the activities of the Registrant’s supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant’s supervision or compliance practices, please contact Mr. Connolly (805) 226-0280.

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A.

Douglas E. Connolly

Taylor Frigon Family Office, LLC

Brochure Supplement

Dated: April 1, 2026

Contact: Douglas E. Connolly, Chief Compliance Officer
18835 N. Thompson Peak Pkwy, Suite C-200
Scottsdale, Arizona 85255

B.

This Brochure Supplement provides information about Douglas E. Connolly that supplements the Taylor Frigon Family Office, LLC Brochure. You should have received a copy of that Brochure. Please contact Douglas E. Connolly, Chief Compliance Officer, if you did *not* receive Taylor Frigon Family Office, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Douglas E. Connolly is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Education Background and Business Experience

Douglas E. Connolly was born in 1975. Mr. Connolly graduated from The University of Texas at Austin in 1999, with a Bachelor of Arts degree in Economics and in 2004 with a Bachelor of Arts degree in Mathematics. Mr. Connolly has been employed with Taylor Frigon Capital Management, LLC as the Director of Operations since December 2021. Mr. Connolly has also been the Director of Operations of Taylor Frigon Family Office, LLC since January 2023. From July 2018 through November 2018, he was a Registered Representative, Specialist, Senior Specialist, and lastly, a Manager with Charles Schwab. From June 2013 through March 2018, Mr., Connolly was Owner of Connolly Asset Management.

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

- A. **Other Investment Adviser Firm.** Mr. Connolly also serves as an investment adviser representative of Taylor Frigon Capital Management, LLC (“*TFCM*”), an affiliated SEC registered investment advisor firm. Mr. Connolly may refer certain clients to *TFCM* for advisory services. The recommendation by Mr. Connolly that a client engage the investment advisory services of *TFCM* presents a **conflict of interest** as Mr. Connolly, may receive a direct economic benefit from any such referral. No client is under any obligation to engage the services of *TFCM*. **The Registrant’s Chief Compliance Officer, Douglas E. Connolly, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

Item 5 Additional Compensation

None.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant’s policies and procedures manual. The primary purpose of the Registrant’s Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the “*Act*”). The Registrant’s Chief Compliance Officer, Douglas E. Connolly, is primarily responsible for the implementation of the Registrant’s policies and procedures and overseeing the activities of the Registrant’s supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant’s supervision or compliance practices, please contact Mr. Connolly (805) 226-0280.

Item 1 Cover Page

A.

Kameron A. Gilbert

Taylor Frigon Capital Management, LLC

Brochure Supplement

Dated: April 1, 2026

Contact: Douglas E. Connolly, Chief Compliance Officer
18835 N. Thompson Peak Pkwy, Suite C-200
Scottsdale, Arizona 85255

B.

This Brochure Supplement provides information about Kameron A. Gilbert that supplements the Taylor Frigon Capital Management, LLC Brochure. You should have received a copy of that Brochure. Please contact Douglas E. Connolly, Chief Compliance Officer, if you did *not* receive Taylor Frigon Capital Management, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Kameron A. Gilbert is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Education Background and Business Experience

Kameron A. Gilbert was born in 1995. Mr. Gilbert attended some college but did not graduate with a secondary degree. Mr. Gilbert has been employed with Taylor Frigon Capital Management, LLC as an Operations Associate since August 2022. Mr. Gilbert has been employed with Taylor Frigon Family Office, LLC as an Operations Associate since January 2023. From September 2018 through August 2022, he was a Sales Representative with various companies and was in the United State Marine Corps prior to that.

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

- A. **Other Investment Adviser Firm.** Mr. Gilbert also serves as an investment adviser representative of Taylor Frigon Capital Management, LLC (“*TFCM*”), an affiliated SEC registered investment advisor firm. Mr. Gilbert may refer certain clients to *TFCM* for advisory services. The recommendation by Mr. Gilbert that a client engage the investment advisory services of *TFCM* presents a **conflict of interest** as Mr. Gilbert, may receive a direct economic benefit from any such referral. No client is under any obligation to engage the services of *TFCM*. **The Registrant’s Chief Compliance Officer, Douglas E. Connolly, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

Item 5 Additional Compensation

None.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant’s policies and procedures manual. The primary purpose of the Registrant’s Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the “*Act*”). The Registrant’s Chief Compliance Officer, Douglas E. Connolly, is primarily responsible for the implementation of the Registrant’s policies and procedures and overseeing the activities of the Registrant’s supervised persons. Should an employee, independent contractor, investment adviser representative, or solicitor of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant’s supervision or compliance practices, please contact Mr. Connolly (805) 226-0280.

Item 1 Cover Page

A.

Michael G. Frigon

Taylor Frigon Family Office, LLC

Brochure Supplement

Dated: April 1, 2026

Contact: Douglas E. Connolly, Chief Compliance Officer
18835 N. Thompson Peak Pkwy, Suite C-200
Scottsdale, Arizona 85255

B.

This Brochure Supplement provides information about Michael G. Frigon that supplements the Taylor Frigon Family Office, LLC Brochure. You should have received a copy of that Brochure. Please contact Douglas E. Connolly, Chief Compliance Officer, if you did *not* receive Taylor Frigon Family Office, LLC's Brochure or if you have any questions about the contents of this supplement.

Additional information about Michael G. Frigon is available on the SEC's website at www.adviserinfo.sec.gov.

Item 2 Education Background and Business Experience

Michael G. Frigon was born in 1995. Mr. Frigon graduated from Westmont College in 2017 with a Bachelor of Arts degree in History and from Institute of World Politics in 2020 with a Master of Arts degree in National Security. Mr. Frigon has been employed with Taylor Frigon Family Office, LLC as a Senior Research Analyst since July 2024. From February 2020 through June 2024, Mr. Frigon was an Intelligence Specialist with the Department of Defense. From April 2019 through July 2020, Mr. Frigon was a Protective Intelligence Analyst with Aspis Protective Services LLC.

Item 3 Disciplinary Information

None.

Item 4 Other Business Activities

- A. **Other Investment Adviser Firm.** Mr. Frigon also serves as a Senior Research Analyst of Taylor Frigon Capital Management, LLC (“*TFCM*”), an affiliated SEC registered investment advisor firm. Mr. Frigon may refer certain clients to *TFCM* for advisory services. The recommendation by Mr. Frigon that a client engage the investment advisory services of *TFCM* presents a **conflict of interest** as Mr. Frigon, may receive a direct economic benefit from any such referral. No client is under any obligation to engage the services of *TFCM*. **The Registrant’s Chief Compliance Officer, Douglas E. Connolly, remains available to address any questions that a client or prospective client may have regarding the above conflict of interest.**
- B. The supervised person is not actively engaged in any non-investment-related business or occupation for compensation.

Item 5 Additional Compensation

Mr. Frigon’s annual compensation is based, in part, on the amount of assets under management that Mr. Frigon introduces to the Registrant. Accordingly, Mr. Frigon has a conflict of interest for recommending the Registrant to clients for investment advisory services, as the recommendation could be made on the basis of compensation to be received, rather than on a client or prospective client’s best interests.

Item 6 Supervision

The Registrant provides investment advisory and supervisory services in accordance with the Registrant’s policies and procedures manual. The primary purpose of the Registrant’s Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the “*Act*”). The Registrant’s Chief Compliance Officer, Douglas E. Connolly, is primarily responsible for the implementation of the Registrant’s policies and procedures and overseeing the activities of the Registrant’s supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of the Registrant have any questions regarding the applicability/relevance of the *Act*, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding the Registrant’s supervision or compliance practices, please contact Mr. Connolly (805) 226-0280.