1st Global

1st GLOBAL

Company

Who is 1st Global?

1st Global was founded in 1992 as the business development and resource partner to leading CPA, tax, accounting and law firms offering comprehensive wealth management services. Over 250 dedicated professionals serving over 1,200 affiliated advisors nationwide are based in our Dallas, Texas headquarters.

We are one of the most prominent, privately-owned firms of our kind. Our leadership and service excellence to our advisors have been recognized by publications like *Investment Advisor* magazine, *CPA Wealth Provider* and *Accounting Today*, and we have been the recipient of numerous industry awards for outstanding service to our affiliated advisors.

Mission

What does 1st Global do?

We empower CPAs, accountants, tax professionals, estate planning attorneys and financial advisors to expand the premium wealth management services they offer to their best clients. We believe that these professionals, with their broad understanding of their clients' entire financial picture, are in an ideal position to provide independent, objective wealth management advice.

We support our advisors with leading technology, comprehensive education, award-winning customer service, and dedicated professional wealth management technical expertise. Our goal is to give our advisors the quality advice and business support they need to deliver on their promise of what is important: helping you address your present and future financial needs.

Independence

Who owns 1st Global?

1st Global is privately owned. We understand that independence is the key to providing the right financial solutions.

Since we are not owned by a bank, insurance company or other entity, your advisor maintains the independence and objectivity to craft customized, objective solutions for your unique wealth management needs. We believe that the formula for your financial success is a comprehensive understanding of your goals and resources, objective advice, and implementation of customized solutions.

Services and Solutions

What services does my financial advisor offer?

Through a partnership with 1st Global, your financial advisor can help you with a comprehensive suite of services and customized solutions that cover the entire spectrum of wealth management, including:

- IRAs (including Traditional IRAs, IRA Rollovers and Roth IRAs)
- Fee-based asset management solutions, including Unified Managed Accounts
- Education plans including 529 college savings plans
- Fixed income strategies
- Retirement income strategies
- Wealth transfer and estate planning
- Business planning: qualified plans, business succession
- Risk management: life, disability and long-term care insurance

Privacy

How is my information protected?

1st Global respects your right to privacy, and we go to great lengths to protect it. Only those members of our staff who require your information to establish or service an account or analyze a case have access to your information. We take great care to ensure that these persons are properly trained and act in accordance with our privacy policy and applicable law to protect your privacy.

A copy of our full privacy policy is available from your financial advisor and on our Web site at *www.1stGlobal.com*.

Security

How are my investments insured?

1st Global and National Financial Services LLC (NFS) are members of the Securities Investor Protection Corporation (SIPC), a federal non-profit corporation that protects customer assets in the unlikely event that a member fails to meet its financial obligations.

Securities in accounts carried by National Financial Services LLC (NFS), a Fidelity Investments company, are protected in accordance with the Securities Investor Protection Corporation (SIPC) up to $500,000 (including cash claims limited to $100,000). For details, please see *www.sipc.org*. NFS has arranged for additional protection for cash and covered securities to supplement its SIPC coverage. This additional protection covers total account net equity in excess of the $500,000/$100,000 coverage provided by SIPC. Neither coverage protects against a decline in the market value of securities.

Working Together

How do I benefit?

Your financial advisor stands ready to help you address your wealth management needs. Your advisor is an independent professional and serves as your personal financial coach. 1st Global's job is to support your advisor through wealth management resources, operational and administrative systems, and a dedicated staff.

Your financial advisor works hard to keep your trust. 1st Global's commitment is to work just as hard to ensure your ongoing relationship with your advisor is a positive force in your life, both today and in the future, as your unique wealth management needs evolve.

1st Global Capital Corp.
1st Global Advisors, Inc.
1st Global Insurance Services, Inc.
1st Global Retirement Services, Inc.

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