



HOW WE WORK  
*With Your  
Financial  
Professional*



StoneX<sup>®</sup>



CORRESPONDENT CLEARING

## OUR ROLE

StoneX Financial Inc. is a securities brokerage and clearing firm registered with the U.S. Securities and Exchange Commission (SEC) and a member of the Financial Industry Regulatory Authority (FINRA). We work behind the scenes to help your financial professional serve you better.

We provide back-end systems and solutions to financial advisers, private bankers, brokerage firms and banks. Our services include trade execution, clearing, settlement and custody of nearly every type of security globally. This is why our name will appear on your statements, trade confirmations and other notices that we send you about your account.

## WHAT IS STONEX?

Our parent company, StoneX Group Inc. (Nasdaq: SNEX), is a global Fortune 100 financial services organization that provides thousands of companies, institutions and individuals around the world with a wide array of financial services through its StoneX global network.

The history of our combined companies dates back more than 100 years. Today, we are a leading provider of clearing and execution services and market intelligence across numerous asset classes including:

- Securities
- Foreign Exchange
- Futures & Commodities
- Precious Metals

## WHO ARE OUR CUSTOMERS?

Some of the world's largest and most respected companies and institutions trust StoneX with their financial transactions.

StoneX customers include government agencies, intergovernmental organizations, NGOs, international aid and development organizations, religious entities, multinational corporations, and some of the world's largest financial institutions.

## WHY DO FINANCIAL PROFESSIONALS CHOOSE US?

The depth and breadth of our product and service offerings differentiate us from similar firms of our size. More importantly, we are able to be more responsive and provide a higher level of service to your financial professional — allowing them to serve you better.

In the end, we work to provide the best solutions for your financial professional. Our deep experience, expertise and relationships across multiple asset classes, markets and disciplines allow us to provide your financial professional, and ultimately you, with access to more products and services than our competitors.







## SAFETY AND SECURITY OF CUSTOMER ASSETS

As your custodian, we understand that the safety and security of your assets is the most important aspect of what we do. In addition to insurance provided by the Securities Investor Protection Corporation (SIPC), we use segregation, established global depositories and custodians, and supplemental insurance to help ensure that your assets are protected. Investors may obtain information about SIPC, including the SIPC brochure, by contacting SIPC at 202-371-8300, or visiting [www.sipc.org](http://www.sipc.org).

### Segregation

StoneX Financial segregates customer assets pursuant to SEC requirements. Segregation means your assets are kept separate from firm assets, and thus are protected from potential losses of the firm.

### Depositories and Custodians

StoneX Financial maintains customer assets with some of the world's largest depositories and custodians.

Customer securities (stocks, ETFs, bonds) are held at DTC, Euroclear and BNP Paribas.

**DTC** – All U.S. clearing firms use the Depository Trust Company (DTC) for custody of eligible securities. DTC is one of the world's largest securities depositories retaining custody of more than \$37 trillion in securities.

**Euroclear** – Euroclear Bank is the leading International Central Securities Depository providing safekeeping of assets valued at more than €27 trillion.

**BNP Paribas** – StoneX Financial uses BNP Paribas for custody of non-U.S. equities and certain Euroclear-eligible securities. BNP Paribas has more than \$13 trillion in assets under custody and/or administration.

Customer cash and currencies are deposited in regulated U.S. and international banks in accounts specifically designated for customers and segregated from StoneX assets pursuant to SEC regulations.

**FDIC Insurance** – Customers enrolled in our FDIC Sweep Program may receive Federal Deposit Insurance on USD cash balances up to \$5,000,000.

### Additional Account Protection

In addition to using some of the world's most respected asset custodians, StoneX Financial has secured account protection coverage against firm insolvency through Lloyd's of London in the amount of \$24.5 million in securities per customer with an aggregate limit of \$100 million.

## PRIVACY PROTECTION

We strive to go above and beyond the privacy requirements required by our regulators and employ both physical and electronic safeguards as well as regular training of our employees on proper procedures for protecting your confidential information.

*Ensuring the safety and security of your assets is the most important aspect of what we do.*



# StoneX<sup>®</sup>



## CORRESPONDENT CLEARING



*For professional use only. Not for use with the general public.*

The StoneX Group Inc. group of companies provides financial services worldwide through its subsidiaries, including physical commodities, securities, exchange-traded and over-the-counter derivatives, risk management, global payments and foreign exchange products in accordance with applicable law in the jurisdictions where services are provided.

References to over-the-counter ("OTC") products or swaps are made on behalf of StoneX Markets LLC ("SXM"), a member of the National Futures Association ("NFA") and provisionally registered with the U.S. Commodity Futures Trading Commission ("CFTC") as a swap dealer. SXM's products are designed only for individuals or firms who qualify under CFTC rules as an 'Eligible Contract Participant' ("ECP") and who have been accepted as customers of SXM. StoneX Financial Inc. ("SFI") is a member of FINRA/NFA/SIPC and registered with the MSRB. SFI is registered with the U.S. Securities and Exchange Commission ("SEC") as a Broker-Dealer and with the CFTC as a Futures Commission Merchant and Commodity Trading Adviser.

References to securities trading are made on behalf of the BD Division of SFI and are intended only for an audience of institutional clients as defined by FINRA Rule 4512(c). References to exchange-traded futures and options are made on behalf of the FCM Division of SFI. StoneX is a trading name of StoneX Financial Ltd. StoneX Financial Ltd is registered in England and Wales, Company No. 5616586, authorized and regulated by the Financial Conduct Authority [FRN 446717].