



Access to global markets

First American
CAPITAL AND TRADING CORP.

Member FINRA, SIPC, MSRB

Why First American?

Making you more effective

In today's demanding environment, the overall success of your business hinges on one critical decision - choosing the best partner. As a financial professional, you need a partner with the expertise to effectively process your transactions, strengthen your current business lines, and provide access to new sources of revenue. *First American Capital and Trading* is that partner.

We build personal relationships and provide tailored solutions to broker-dealers, investment advisors, institutional investors, and registered representatives across the globe. Our partners profit by leveraging *First American's* existing client base and infrastructure. As a result, you will enjoy the benefits and pricing customarily afforded only to larger firms. You will have *First American's* experienced and dependable professionals anticipating and responding to your needs with personalized solutions. At *First American* our goal is to increase your efficiency, effectiveness, and range -- adding value to your clients and profit to your bottom line.

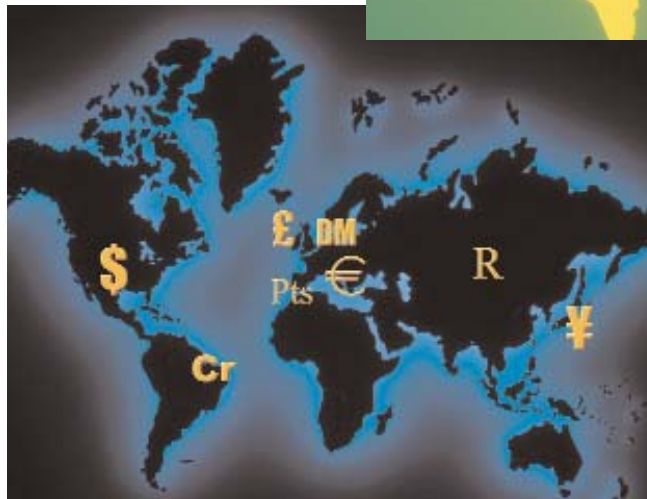
“**WE COMMIT TO
LONG-TERM
RELATIONSHIPS**”



Domestic & International Products

Providing access to new sources of revenue

- US Equities
- International Equities
- Options (index & currency)
- US Treasury Securities
- Municipal Bonds
- US Corporate Bonds
- International Corporate Bonds
- International Sovereign Bonds (emerging market)
- Foreign and Domestic Mutual Funds
- Exchange Traded Funds (ETFs)
- Foreign Currency Exchange
- American Depository Receipts (ADRs)
- Real Estate Investment Trusts (REITs)
- Structured Notes
- Fixed Annuities
- Variable Annuities
- Equity Derivatives
- Private Equity
- Hedge Funds



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Customized



Trading

- Direct market access to all US exchanges
- Direct access to US exchange floor brokers
- Access to all major option exchanges
- Pre and post U.S. market executions
- Execute in all major global equity markets
- Global market access to major fixed income execution venues
- Access to 11,000 foreign and domestic mutual funds
- Additional liquidity opportunities via Alternative Trading Systems (ATS) including dark pools
- Capacity to execute as both agent and principal
- Ability to represent orders as a market maker
- Algorithmic trading
- Time Weighted Average Price Executions (TWAP)
- Volume Weighted Average Price Executions (VWAP) stock repurchases
- 10b-18 executions ensuring compliance for issuer (guaranteed & best efforts)
- Process 15c2-11 filings

Solutions

Client Management

- Prime brokerage services
- Clearance, settlement and custody in multiple foreign currencies
- International and domestic DVP/RVP settlement
- Proprietary & third party portfolio management tools
- Sophisticated customer allocation tools
- Flexible integrated trading solutions
- CMTA settlement
- Soft-dollar arrangements
- SEC Rule 15c3-3(k)(2)(i) commission recapture arrangements
- “In-house” Registered Investment Advisor (RIA)
- WRAP accounts
- Access to third party account managers
- Access to third party research
- Consolidated statements with annuity providers
- Electronic statements and confirmations
- Statements published in local currency denominations
- Online account access and order entry
- Securities lending and borrowing
- Retirement accounts (Traditional, Roth, SEP, Simple, 401k)
- Section 529 programs
- Cash management - checks, debit cards, bill payment & money market sweeps





Ridge Clearing & Outsourcing

Excellent service

Highest level of client protection

First American employs the processing and clearing expertise of Ridge Clearing and Outsourcing Services Corp. While Ridge provides excellent service and the highest available level of protection for our customer accounts, a major reason we chose Ridge was its commitment to correspondent broker-dealers. Ridge does not solicit or service private clients, offer asset management services, or produce proprietary research. Ridge does not compete with us—and Ridge will not compete with you. Ridge's sole focus is servicing their correspondents and their clients, an increasingly atypical situation among established clearing firms.

Ridge is a wholly owned subsidiary of Broadridge Financial Solutions (NYSE: BR), which was formally a wholly owned subsidiary of Automatic Data Processing (NYSE: ADP). Broadridge has a 44-year history of providing innovative solutions to the financial services industry and publicly-held companies. Broadridge entered the securities clearing business by purchasing Bank of America Corporation's U.S. Clearing and Broker-Dealer Services businesses. By 1999, Broadridge was handling over 90% of the investor communications distributions for all securities held of record by banks and brokers in the United States. During their 2006 fiscal year, Broadridge processed on average approximately \$2 trillion per day in fixed income trades. As a member of New York Stock Exchange,

Financial Industry Regulatory Association (FINRA), Euroclear, Cedel and the Citibank Global Custodian Clearance Network, Ridge offers extensive domestic and international clearing capabilities including multi-currency confirmation and statement reporting.

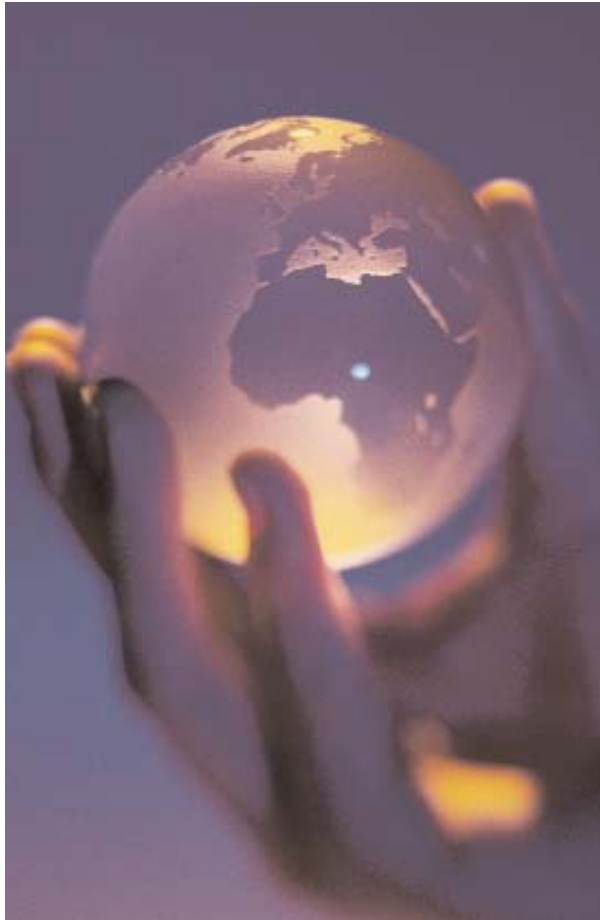
“NO LIMITATION ON AGGREGATE FIRM OR PER CUSTOMER COVERAGE”

All accounts held by Ridge are protected through the Securities Investor Protection Corporation (SIPC) and customers are afforded the benefits under the Securities Investor Protection Act of 1970. SIPC provides protection up to a \$500,000 limit, of which \$100,000 may be for cash balances (explanatory brochure available upon request or at www.sipc.org).

Additionally, Ridge has supplemental account protection through Customer Asset Protection Company (CAPCO), a licensed Vermont insurer which provides “Excess SIPC” protection for the Full Net Equity of Securities and Cash, with no limitation on aggregate firm or per customer coverage. The additional securities and cash protection is of the same type and nature as provided by SIPC, but without a limit on the amount of coverage. Coverage is provided for the clearing operations of Ridge, which includes all customer accounts that are cleared through Ridge by its introducing broker-dealer clientele.

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