



Compliance Statement

SIPC Protection

SunGard Institutional Brokerage Inc. ("SIBI") is a member of the Securities Investor Protection Corporation ("SIPC"). SIPC protects the clients of its member firms against the loss of their securities in the event of the member's insolvency or liquidation. Each client is insured up to a maximum of \$500,000 (including \$250,000 for claims for cash). For more information on SIPC coverage, please see the explanatory brochure at www.sipc.org or contact SIPC at (202) 371-8300. SIPC does not insure the quality of investments or protect against losses from fluctuating market value.

Investor Education and Protection

Public Disclosure: You may reach FINRA by calling the FINRA BrokerCheck Hotline at (800) 289-9999 or by viewing FINRA BrokerCheck online at www.finra.org. A brochure describing the FINRA BrokerCheck Program is also available from FINRA upon request.

Notice to Clients Regarding Information Collected for Customer Identification Purposes ("CIP")

To help the US government fight the funding of terrorism and money laundering activities, SIBI is required by USA PATRIOT Act and FINRA Rule 3310 to obtain, verify, and record information that identifies each entity that obtains products or services from SIBI.

As such, SIBI has established a Client Identification Program ("CIP") and will collect certain information such as entity name, physical address, tax identification number as well as any other information that will allow SIBI to identify that entity. SIBI may also request to obtain identifying documents, such as formation documents, business licenses or similar records.

Questions and Complaints

You may direct any complaints you may have concerning your relationship with SIBI to: SunGard Institutional Brokerage, Inc., 377 East Butterfield Road, Suite 800, Lombard, IL 60148, Attn: Compliance Department or you can contact the Compliance Department at (630) 789-4200.