

## **BROKERAGE SERVICES**

Through the Southwest Securities brokerage platform (Southwest's 35<sup>th</sup> year of service) your customers can enjoy access to the following products and services:

- Over 8,000 mutual funds
- Fixed income
- Free brokerage checking
- VISA Platinum Check Card (debit Card)
- Four money market funds to choose from
- Online tax documentation
- Exportable account data
- Online document imaging and retrieval
- Dividend reinvestment
- Listed options
- Fee based brokerage
- Retirement products
- Domestic and foreign equities
- Electronic funds transfer
- Margin accounts
- Professionally managed portfolios
- Online account statements, confirmations
- No Annual fee self-directed IRA
- No annual "inactivity fee"
- Online new account forms
- Insured Bank Money Market Fund
- Program to view bond inventories
- Customers can view account online at no charge

As an First Asset Financial Representative, you and your clients are entitled to the highest level of service possible. We at First Asset Financial have made a commitment to specific benchmarks with regard to the processing of your IGO (In Good Order) business.

### **Same day processing of:**

- New Accounts
- Direct Business
- Transfer of Assets

Not only is the First Asset Financial staff instilled with a sense of urgency regarding the processing of your business, but our imaging and document tracking capability allows representatives to track his/her submitted business from start to finish.

### **Asset Protection Beyond SIPC**

Southwest Securities, Inc. is a member of the Securities Investor Protection Corporation (SIPC), which provides account protection for the net equity of your clients' securities positions up to \$500,000 (including cash claims limited to \$100,000). In addition, through our association with Southwest, your client accounts held at Southwest Securities are also insured for the net equity value in excess of the SIPC coverage of \$19.5 million. This insurance does not, of course, cover declines in the market value of your clients' investments.