



esposito
SECURITIES LLC

At **Esposito Securities** our approach is personal, intelligent and thorough. The cornerstone of our success is a unique blend of advanced trading technologies and extensive human networks when combined provide our clients with premium, high-touch execution services.

Our clients assist us in building our legacy by allowing us to tailor our dynamic platform to their needs.

I stand by our team in extending a welcome hand toward trusted business relationships, with global reach. **Let us earn your trust and add you to that list of partners.**

Mark Esposito President - Esposito Securities LLC

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An Introduction to our services:

Esposito Securities Global Product Offering:

Our value added portfolio of products include:

Program and Electronic Trading Services

Esposito Trading Technologies™

Corporate Access

Quantitative Trading

International Trading

Prime Brokerage Services

FX Trading

ETF Standard and Custom baskets

Transition Management

Soft dollar programs

Commission Sharing Arrangements

Client Commission Arrangements

Corporate Buybacks

Research



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earning trust
building relationships

Program and Electronic Trading Services:

- Advanced Portfolio Trading Platform
- Proprietary Order Management System
- Robust Domestic and International capabilities
- Direct Market Access to all market centers including ECN's, Dark pools, etc.

Our adept trading team will source out liquidity, coupling their expertise with our technology to provide best execution.

Esposito Trading Technologies™

- Esposito Transaction Cost Analysis™
- A diverse selection of Proprietary Algorithms applied in accordance to your specifications
- Proprietary Order Management System
- Scalable, Customizable FIX compliant applications

These applications provide you with progressive, convenient market access and clear, concise trade reporting.

Corporate Access

- Significant meeting opportunities with access to various sized institutions
- Greater success in obtaining high quality and thorough feedback
- Our proprietary methodology generates premium meetings through anticipatory pre-market preparation
- Most efficient use of marketing time for senior level executives based on investor demand rather than executive supply
- Superior marketing efforts to global institutions

Issuers look to Corporate Access for transparency when organizing management access events. Our mission is to guide corporate senior management to efficiently allocate time and resources to the most interested and relevant investors and potential shareholders.

Corporate Access solutions provide:

- Proprietary methodology to generate optimal impact on investment decisions
- Transparency of commission dollars allocation
- No conflicts of interest or tiering of access opportunities
- Ultimate confidentiality with discretion

Institutional investors seek Esposito for discretion and confidentiality as they disclose their investment goals and objectives. We earn their trust and position their interests with appropriate representation to issuer management.

Quantitative Trading

- Esposito Securities LLC embraces and anticipates an ever-changing trading landscape
- Our goal is to increase liquidity and transparency as we partner with global exchanges and clients worldwide.
- Our adaptability is pervasive given that technology and market conditions change millisecond by millisecond.
- Esposito proprietary algorithmic trading strategies for multiple uses globally are continually reassessed for optimization.

Esposito Securities LLC employs multiple high frequency, low latency strategies by combining our core Esposito Trading Technologies solutions in conjunction with our trading teams' extensive background in trading the financial markets and expertise in quantitative trading development.

As markets dictate and as our quantitative group explores optimizing infinite opportunities, Esposito Securities is at the forefront of creating more efficient financial markets globally.

The benchmark of Esposito Securities is a commitment to customer service, technological innovation and market savvy.



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industry savvy
market smart

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Esposito International Trading

- A global reach providing access to 100+ markets in both developed and emerging countries.
- 24/7 access to our global trading desk
- Specialized electronic international Order Management System
- Settlement in foreign local currency or USD
- Custom report generation upon trade completion

Wherever your trading horizons lead, we stand ready to provide timely and convenient access.

Esposito Prime Brokerage Services

- Goldman Sachs infrastructure with the advantage of a relationship custom tailored to your needs
- Large Securities Lending facility
- REDI trading platform
- Extensive services for Buy-side desks

This platform alongside our trading capabilities allows you to streamline the investment process.



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unique insights
uncommon intelligence

Esposito FX Trading

- 24 hour currency trading in over 25 currency pairs
- State of the art trading technology and market access
- Access to some of the best pricing and tightest spreads from multiple top tier money center banks
- Flexible margin and commission structure

FX trading with Esposito gives you the infrastructure and clearing of one of the world's largest forex dealer members, with the advantage of our individualized service and support.

ETF Standard and Custom Baskets

- Maximize Domestic and International tax-efficiency
- Baskets priced at official closing price
- No commission charge or SEC fees
- Settlement of trades based on client requests
- Exceptional on-time customer service

Our custom basket trading provides you with effective solutions to complex needs.

Transition Management

- Comprehensive project management with focus on minimizing both costs and risks
- Ability to act as a fiduciary
- Global execution capabilities
- Proprietary technology offering access to all sources of liquidity and various trading strategies

Our structure provides the flexibility to tailor an appropriate strategy for your unique event.



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attention
to everything...

Additional Institutional Brokerage

- Soft Dollar Programs
- Commission Sharing Arrangements
- Client Commission Arrangements

- Corporate Buybacks

These benefits further assist you in rounding out your core business.

Fixed Income Research

- Industry and market sector analysis
- Bond issues analysis by contract with proactive investment thesis
- Complete and thorough evaluation
- Precise, up-to-date financial information

Timely information keeps you abreast of the market to make informed decisions.



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The Market,
mastered.

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