



Investing for a better future

Innovative financial solutions for independent investment professionals and their global clients.

insigneo

As complicated as financial planning can feel,
our network of professionals can help you create
the best investment plan to achieve your goals.

We are here **to make investing simple.**

We have been **helping investment professionals and their global clients** achieve their goals since 1985.

Insigneo arises from the integration of the values, culture, and collective growth of several companies – Global Investor Services, HB Asset Management, Alpha Capital, Hencorp Wealth Advisors, and Northeast Securities.

Assets under management*

12.9b

Active clients*

+12k

Years of experience

+35

Investment professionals and growing*

+250

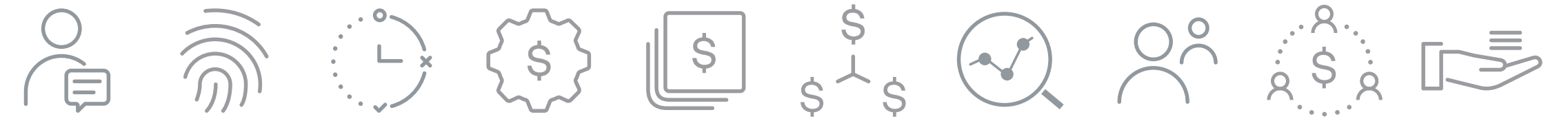
*Insigneo research as of August 2021



Our investment professionals are committed to help you adapt as your financial life evolves.

Whether you want to manage your wealth or build financial security to last for generations, our network of professionals partner with you to realize the possibilities.

A **wide range of solutions** designed to simplify your financial life.



Investment Advisory

Our advisors will take the time to review and understand your financial situation and recommend a plan or a solution tailored to your specific needs.

Wealth Planning & Insurance

We help you choose the appropriate structures in which to invest and manage your investments by creating customized strategies that help you preserve, enjoy and transfer your wealth

Cash Management

Make your excess liquidity work for you. Get competitive rates in money market instruments, including FDIC-insured money markets products and other short term investments.

Trading

You want to buy stocks, bonds, funds? We have you covered with access to global markets, trading relationships with numerous counterparties, and a highly capable multi-lingual product and trading team. We've got you covered..

Market Research

Stay abreast of the latest news and developments in the financial global markets. Receive relevant insights into products and trends.

Investment Management

We help manage your money based on your objectives and risk tolerance, cash flow needs, and your specific tax situation.

Financing

As a high-net-worth individual you need assistance on the process of acquiring-funds, making purchases, or investing.

Lending Services

Determine and plan the best way to acquire products without disrupting your long-term financial strategy.

Access investments
opportunities across
the globe to benefit
 from multiple markets.

Global Equity

US Equities

Listed Stocks/OTC/ETFs/Preferred Stocks
 Options – Stocks and Index Options

Other Equities

London Stock Exchange UCITs

North America – Canada, Mexico

Asia – Australia, Hong Kong, Japan, Singapore

EMEA – Austria, Belgium, Denmark, Finland, France, Germany, Ireland, Italy, Netherlands, Norway, Portugal, Spain, Sweden, Switzerland and UK

PASSENGER MARKETS (Pershing exclusive)

South America – Brazil, Chile, Colombia, Peru

Asia – Bangladesh, India, South Korea, Taiwan

EMEA – Egypt, Romania, Serbia, UAA, Zambia

Fixed Income

\$2.7 billion
 in transactions
 per year

+\$1.2 billion in transactions
 with main market
 counterparts

Access to +200
 of the main market
 counterparts

50% US risk
 from the total
 volume

13,000
 transactions
 per year

35% LATAM risk
 from the total
 volume

Structured Products

\$370MM Notional Amount issued

With an open architecture platform that distinguishes itself by structuring custom notes using only investment grade issuers.

+615 notes issued

Direct access to the most important Wall Street firms such as BBVA, J.P. Morgan, Citi, Credit Agricole, Barclays, Natixis, Credit Suisse, BNP Paribas, Goldman Sachs and Societe Generale among others.

Market Instruments

Notes

Callable Structures, Non-Callable Structures, Capital Notes and Growth Notes

Underlying assets

ETFs, Individual Bonds, and Indices

Currency

Foreign Exchange and Currency Indices

insigneo

Committed to domestic and LatAm investors like no other firm.

A strong presence in key markets combined with a management team with over 150 years of experience in finance, Insigneo has acquired a unique understanding of LatAm and its complexities.



United States
Broker/Dealer and RIA



Colombia
Oficina de representación



Chile
Asesor de Inversiones

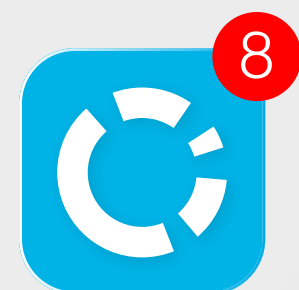


Uruguay
Asesor de Inversiones



Argentina
Asesor Global de Inversiones

An experience that is simpler, more secure and on-demand for our investment professionals.



insigneo Connect

Access and manage your investments everywhere you are¹.



WhatsApp Business

Connect securely and on-demand with your investment professional.

ADDEPAR

Get a simple report with consolidated assets².

DocuSign

Retrieve the paperwork out of the way with digital signatures.

zoom

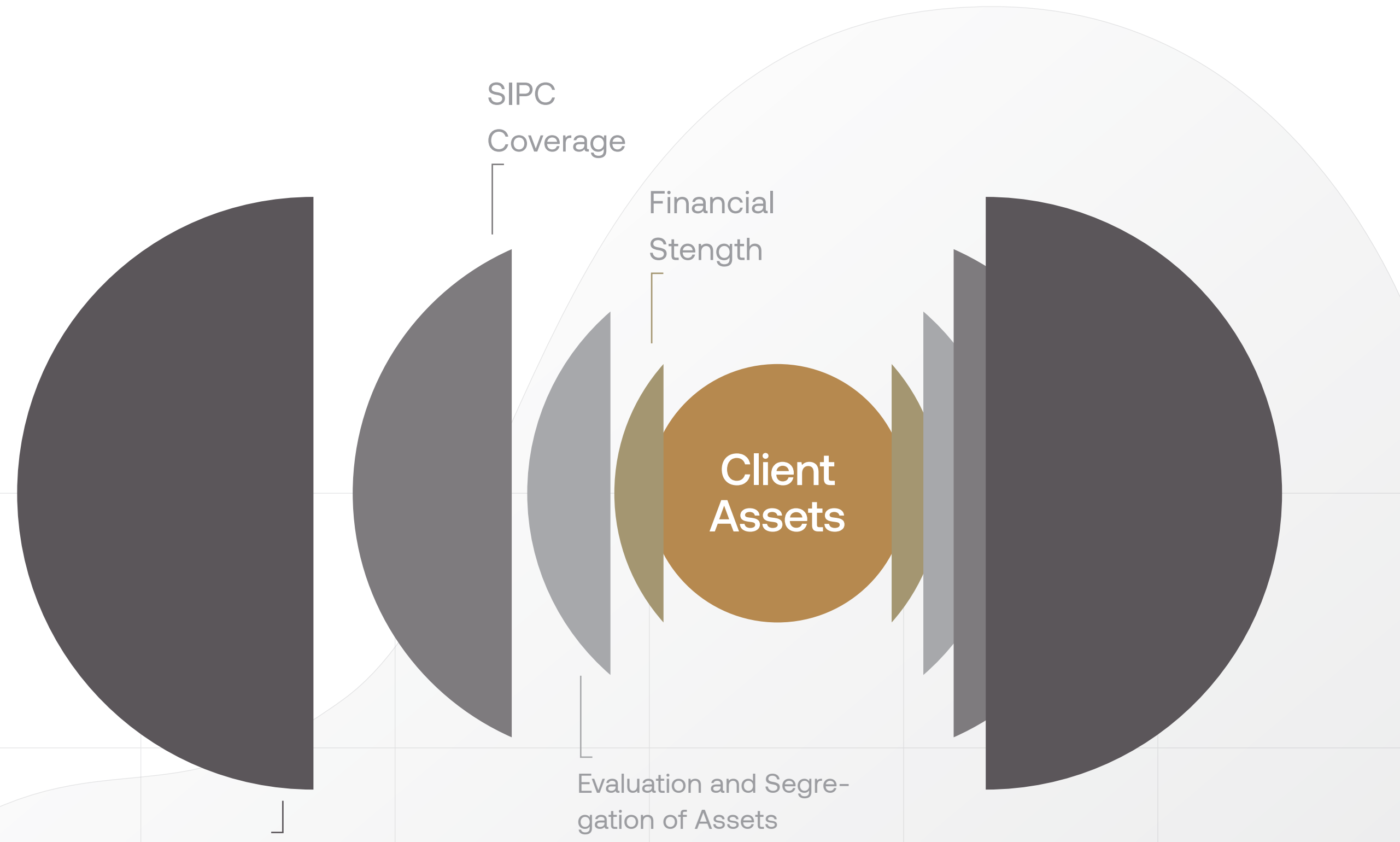
Keeping you securely connected wherever you are.

¹Pershing accounts exclusive. ²Available for Advisory accounts.

Protect your assets under a **BNY Mellon Pershing account** with insurance coverage¹.

A trusted leader in the financial sector and the biggest custodian of LatAm International Assets, with more than 80 years of experience. Insigneo has grown into BNY Mellon's Pershing leading independent correspondent in LatAm.

¹**Securities Investor Protection Corporation (SIPC) Coverage.** Securities in your account are protected up to \$500,000. For details, please see sipc.org



\$2.0 trillion
global client assets*

\$2.0 billion+
net capital*

*As of 2Q 2021

Multi-custodian

Morgan Stanley



EFG

charles SCHWAB



J.P.Morgan

Access different custodians to better allocate your assets depending on your needs and jurisdiction.

Driven by more than **200 years of combined experience** in international wealth management.



Raul Henriquez
Chairman & CEO



Javier Rivero
President & COO



George "Tres" Arnett
General Counsel



Francisco Nuñez
CFO



Rodolfo Castilla
Head of Sales



Anabelle Teves
Human Resources



Miguel Reyes
Head of Marketing



Ahmed Riesgo
Chief Investment Officer



Vikas Saxena
Head of Tech & Innovation



Beatriz Gutierrez Junco
CCO Advisory Services



Helen Lumpuy
Sr. Compliance Officer



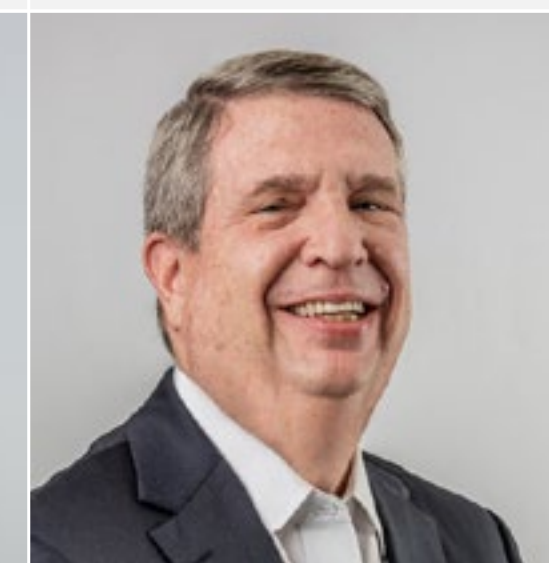
Mariela Arana
Head of Client Relations



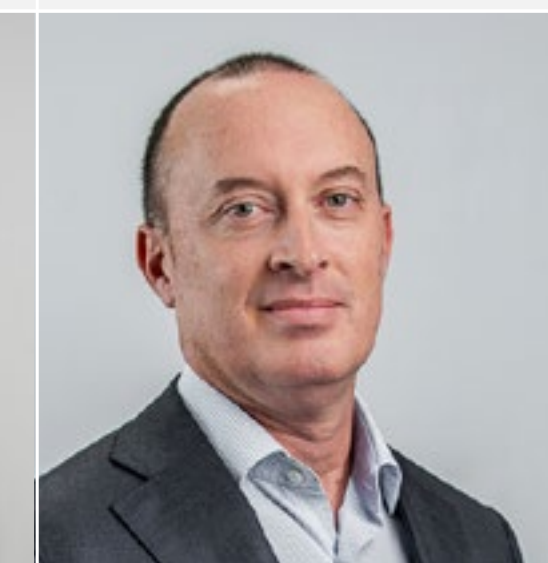
Mariano Scandizzo
Head of Advisory Services



Jose Salazar
Market Head



Daniel Schwartz
Market Head



Vicente Martín
Head of Structured Products



Guillermo Broukaert
Market Head



Important Legal Disclaimer

Insigneo Financial Group collectively refers to Insigneo Securities, LLC, Insigneo Advisory Services, LLC and Insigneo Wealth Advisors, LLC. Security products are offered and conducted through Insigneo Securities LLC, a Miami based broker dealer member of FINRA and SIPC, and advisory products and services are offered through Insigneo Wealth Advisors, LLC and Insigneo Advisory Services, LLC.

Further information related to Insigneo Securities, LLC can be obtained at www.insigneo.com or via www.finra.org. Information related to Insigneo Wealth Advisors, LLC and Insigneo Advisory Services, LLC can be obtained at www.sec.gov or www.adviserinfo.sec.gov.

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