

Personal Attention.  
Powerful Resources.

# Vision



## Corporate Overview

"In our early days as a Futures Commission Merchant, we distinguished Vision through exceptional service, extensive knowledge and proven capability. While our company has grown, we remain true to those roots. We still service the heck out of our valued clients. We are still deeply committed to their success."

- Howard Rothman  
President  
Vision Financial Markets LLC



### A future beyond futures.

Vision Financial Markets has strong roots in the futures industry. We are one of the largest Futures Commission Merchants ("FCMs") in the world, and a leading provider of customer clearing services and managed futures products. We support over 500 brokers in more than 170 Introducing Broker ("IB") offices, providing superior customer service, top-rated financial products and cutting-edge technology. Through this expansive network of professionals, we have served over 100,000 futures accounts in the past ten years alone.

Building on our success in the futures industry, we have expanded to offer a greater array of services to a broader range of brokers and investors. Today, we support trading in stocks, bonds, mutual funds as well as futures; and offer a diverse range of advisory services across the investment spectrum. We provide:

- Access to the markets through a state-of-the-art trading platform
- Exceptionally responsive personalized service
- Sophisticated managed products
- Outstanding web-based services including extensive quoting, research and charting services; and an advanced customer information portal.
- Marketing support for Introducing Brokers

In business for close to twenty years, Vision Financial Markets now operates offices in New York, Chicago, and Stamford, Connecticut. All of us are here to help our clients succeed.

### Unfailing commitment to personal service.

In one critical sense, everyone at Vision Financial Markets has the same job. We are all in customer service. From senior executives to trading operations to accounting and administrative staff, every employee of Vision is trained to treat our customers with the utmost care and professionalism. That means we answer questions accurately, resolve inquiries promptly, and generally make certain our customers understand how completely we value their business. Every one of us, from the Chairman and President on down, is available to speak with our clients and get their issues addressed.

### Tangible measures of strength.

Vision Financial Markets is well capitalized, tightly regulated and meticulously audited. We follow sound, conservative business practices to make sure we can remain the trustworthy and reliable business partner our customers deserve. Some of these measures include:

**Strong Capitalization** - As of November 30, 2006, Vision maintained minimum adjusted net capital, comfortably in

excess of the amount required under CFTC regulations. This demonstrates Vision's commitment to capitalization well in excess of regulatory requirements.

*Substantial Investment* - Vision's Chairman and President have personally invested over \$10,000,000 in Vision for its regulatory capitalization.

*Excess Segregation on the Futures Side* - As of November 30, 2006, Vision as an FCM and Commodity Pool Operator controls customer segregated funds of approximately \$425,000,000. For added customer protection, Vision maintains over \$18,000,000 of regulatory capital in excess of its segregation requirements.

### Supporting brokers to help investors.

Vision Financial Markets has helped hundreds of brokers build their businesses by delivering better products and services to their clients. With a guarantee provided by Vision, many have been able to establish and expand their businesses. Successful IBs use Vision marketing templates to introduce clients to new offerings, and rely on Vision support to deliver flawless service to their clients. Vision's tax-friendly statements, and outstanding online customer information tools, help clients with their accounting.

Through a broad array of high-quality Managed Products, Vision also supports brokers in their efforts to provide clients with an appropriate selection of managed accounts.

Vision Financial Markets provides a broad array of products and services to help brokers and individual investors trade in:

- Stocks
- Bonds
- Futures
- Mutual Funds
- Managed Futures Accounts
- Managed Securities Accounts

### Your success on your terms.

Vision Financial Markets provides the tools that sophisticated investors and their brokers need to trade effectively on the futures, equities and options markets. We provide all the services independent brokers need to succeed, and the online trading platforms online investors need to easily implement complex strategies. With Vision you will get the personal attention you deserve along with the powerful resources you require.



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