

Personal Attention.  
Powerful Resources.

# Vision



## Corporate Overview

"In our early days, we distinguished Vision through exceptional service, together with care, knowledge and untiring 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 ("Vision") is a self-clearing Futures Commission Merchant ("FCM") and self-clearing Securities Broker/Dealer on all of the primary U.S. markets. Having clearing capabilities on both the securities side and futures side in the U.S. markets places Vision among an elite group of less than twenty firms worldwide that possess the same breadth of capabilities, and Vision is the only one which is privately held.

Vision has strong roots in the futures industry. We are one of the largest FCMs in the world, and a leading provider of customer clearing services and managed futures products. We support over 500 brokers in approximately 200 Introducing Broker ("IB") offices, providing what we believe to be superior customer service, top-rated financial products and cutting-edge technology.

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

- Access to the markets through state-of-the-art trading platforms;

- Exceptionally responsive personalized service;
- Sophisticated managed products;
- Outstanding Web-based services including extensive quoting, research and charting services, and an advanced customer information portal; and
- Marketing support for Introducing Brokers.

In business for over 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, like all Futures Commission Merchants and Securities Broker/Dealers, is tightly

regulated and we are also meticulously audited by an independent auditor. 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 September 30, 2011, Vision maintained minimum adjusted net capital comfortably in excess of the minimum 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 committed over \$8,000,000 in Vision for its regulatory capitalization.

**Excess Segregation on the futures side** - Vision, as of September 30, 2011, maintained over \$17,000,000 of regulatory capital in segregation ("excess segregation") for added customer protection. Vision, as an FCM and Commodity Pool Operator, also holds customer segregated funds of approximately \$330,000,000.

### 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. Successful IBs have used Vision marketing templates to introduce clients to new offerings, and relied on Vision support to deliver superior 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 managed products covering multiple asset classes, Vision also supports brokers in their efforts to provide clients with the ability to construct a properly diversified portfolio with a focus on creating a transparent portfolio.

Vision has partnered with CME Group for the purpose of promoting managed futures. Vision is a designated CME Group Education Partner and works closely with CME Group to educate the public regarding the benefits, risks and virtues of managed futures.

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

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

### Your success on your terms.

Vision Financial Markets provides access to the products and platforms that sophisticated investors and their brokers need to trade effectively on the futures, equities and options markets. We provide all the services independent futures brokers and Securities Broker/Dealers 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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