

Working Behind the Scenes for You

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As an investor, you place a lot of trust in your financial advisor. But did you know that there's a company that helps your advisor earn that trust, working behind the scenes to help protect your assets and provide solutions that may help you achieve your financial goals? That's the power of BNY Mellon | Pershing!



PROVEN. TESTED. TRUSTED.

Your financial assets are in strong hands when you work with a financial advisor who partners with Pershing—the U.S. #1 clearing firm.* Pershing has been

committed to the safekeeping, servicing and reporting of assets for investors for almost 85 years. Pershing is the trusted choice with more than 7.5 million investor accounts and over \$2.0 trillion in client assets worldwide.¹

Critical to the banking system

Pershing is a subsidiary of The Bank of New York Mellon Corporation, a publicly owned and systematically important bank to the global financial system. We are held to the industry's highest standards for liquidity, capitalization, government scrutiny and transparency. As of December 31, 2022, BNY Mellon had \$44.3 trillion in assets under custody and/or administration and \$1.8 trillion in assets under management.

Safeguarding of Assets

Pershing protects client assets through rigorous internal control measures. An annual audit by a major independent audit firm and the audit team at our parent

company, BNY Mellon, help to monitor controls that are in place. The safekeeping, servicing, segregation and reporting of client assets is core to our 80-year legacy. Learn more about the [protection of your assets](#) and about the strength of Pershing.

A Global Company that Cares About the World

We are a custodian devoted to making a difference. We advocate and create programs that advance financial literacy around the world. We provide guidance and direct opportunities for minority-owned business to enhance their performance and profitability. BNY Mellon uses its reach, market influence and resources to address social justice movements around the globe and other pressing global environmental, social and [governance \(ESG\) issues](#). We continue to work towards ensuring we have a positive impact on our society and the environment.

Leading Privacy Protection

We carefully protect your personal information and assets with layers of advanced physical, electronic, and procedural safeguards, as well as our [cybersecurity and business resilience protocols](#). For more information, please refer to our [privacy statement](#).

*Based on number of broker-dealer clients, LaRoche Research Partners LLC 2022

¹ As of December 31, 2022



OPPORTUNITIES FOR EVERY INVESTOR—AND EVERY GOAL

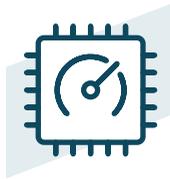
Your financial advisor can address your evolving financial needs in partnership with Pershing. We provide them access

to innovative capabilities such as:

- **Lending/Private Banking solutions.** Access liquidity with margin lending, securities-based consumer lending, mortgage solutions, life insurance premium financing, and more through BNY Mellon's independent private bank. In addition, Pershing offers a fully paid securities lending program that offers the potential to earn additional revenue from securities you already own
- **Day-to-day financial resources.** Easily manage day-to-day financial tasks with checking solutions (e.g., mobile check deposit, debit cards/checkbooks, etc.) and bill payment capabilities
- **Solutions for your unique life stage needs.**
 - Investing for and protecting the people you care about including education savings accounts such as 529 plans and health savings accounts to pay for medical care
 - Retirement accounts including qualified plans (e.g. individual(K), 401(k), Profit Sharing Plan, and Money Purchase Plan, etc.) to prepare for your future cash flow needs
 - Trust Solutions (Corporate Trustee Network) capabilities to support asset growth, protection and transfer

- Philanthropic solutions for generational giving to nonprofit organizations

- **Global market access.** Clearing and custody in 64 markets, execution in over 60 markets, and conversion of 45 currencies
- **Sophisticated Investment Solutions.** Advisor access to alternative/private investments, cash management and custom fixed income options
- **Unique Bank Custodian Optionality.**
 - Principal and income reporting
 - Ability to report on non-standard assets including art collections and other alternative investments



LEADING-EDGE, EASY-TO-USE, AWARD-WINNING TECHNOLOGY

- Access your accounts anytime, anywhere. We offer 24/7 access to your accounts with real-time updates.

Your financial information and market data will be at your fingertips through the mobile app and online investor portal. You will have full access and control of your accounts from anywhere in the world

- **Easy to use technology.** Log into your accounts for a dynamic and flexible experience.
 - Easily share this access with your accountant, lawyer or other relevant professionals
 - Handle approvals online rather than signing forms

Learn *More*

If you have questions about your account, please contact your financial advisor directly.

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