# Compliance solutions today—
# helping employees with their tomorrows.

FIDELITY | DESIGNATED BROKERAGE SERVICES

Fidelity INVESTMENTS

# Designated Brokerage Services — a strategic partner in your success.

With more than 20 years of experience as a designated broker, we can help you effectively and efficiently oversee your employees' investment and trading activities while, at the same time, working with you to drive more efficiency in your compliance function. Additionally, your employees will benefit from having access to the breadth and depth of investment products, holistic planning and guidance, thought leadership, exceptional service, and the unparalleled value Fidelity offers each and every customer.

# Technology that's transformative at every level.

Monitor your employees' investment activity with greater efficiency using our Designated Brokerage Services (DBS) platform, providing comprehensive transaction and trade information, secure service messaging functionality, data transmission to third-party vendors, and the ability to program client-specific trade restrictions into our platform.

KEY FEATURES INCLUDE:

## Web-based application

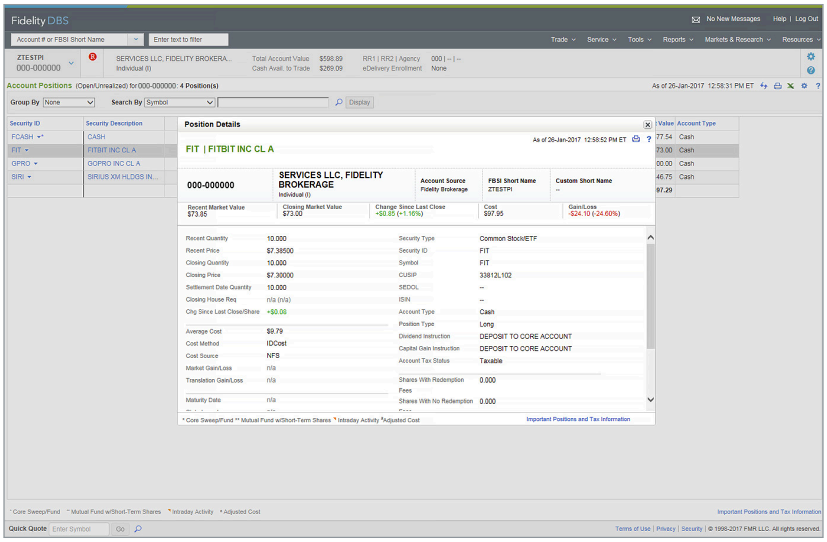
provides access to real-time data on your employees' trading activity (including execution times), a database of up to 10 years of employee statements, and the ability to submit secure requests directly to our service team.

**Real-time trade activity allows for prompt review of employee trades to assist in oversight, including:**

- Order Detail
- Order Status
- Position Details

**Provides access to more than 30 reports that are available on demand, that can also be scheduled, including:**

- Add/Delete Report
- All Activities Report
- Gain/Loss Realized Report






Screenshots are for illustrative purposes only.

## Integrated Compliance Solutions

Fidelity has customizable solutions to help mitigate risk and drive efficiency in your compliance function. Put real-time controls in place to ensure that monitored employees obtain the appropriate approvals and are trading in accordance with your firm's code of ethics policies to prevent employees from making unauthorized transactions.

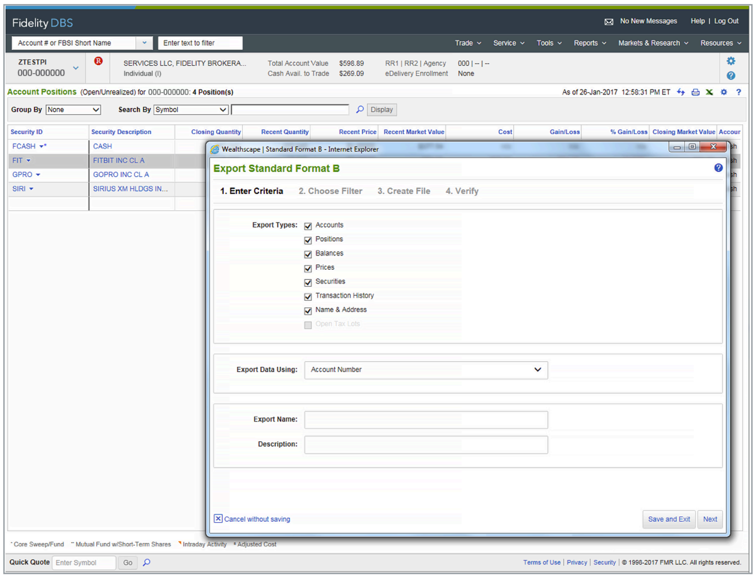
- Pre-clearance is a custom solution that will block monitored employees from placing trades at Fidelity.
- Restricted Securities provides the ability to block all or specific accounts from trading a specific security or a list of securities.
- Your custom solution can include:
  - **Expiring Options:** Block orders for options that are expiring in a company-specified number of days.
  - **Block IPOs:** Blocks orders for IPOs and only allow trading of stock in the secondary markets.
  - **Order Review & Cancel:** Before market open, re-evaluate open orders for all accounts.

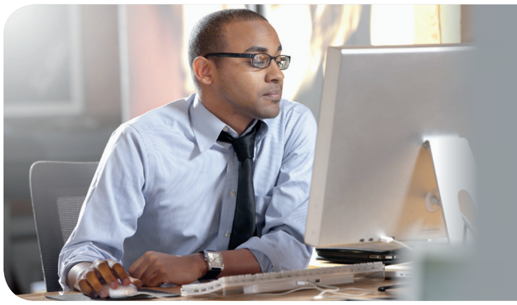
## Automated data transmission

to third-party providers enables you to receive data in the most effective manner for your organization.

- Provides daily account information
- Helps streamline your compliance functions
- Is compatible with all third-party vendors

Please contact us for additional information.



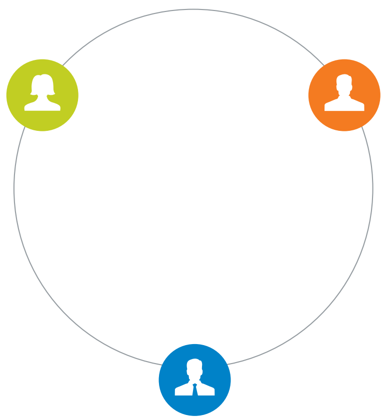
**STREAMLINED ONLINE CONSENT PROCESS**

makes it quick and easy for employees to provide individual consent to send account data to their employer.

# Teaming up to provide you with dedicated support.

At Fidelity, we consider every relationship an opportunity to build trust, exceed expectations, and demonstrate a long-term commitment to you and your employees' success. Whether you're focused on long-term business strategy or day-to-day monitoring and reporting, our relationship and service team members are here to assist you.

## YOUR TEAM MEMBERS



### STRATEGIC RELATIONSHIP MANAGERS

Dedicated, experienced professionals who work with you one on one to ensure that strategic compliance goals are met, and that you have the opportunity to take advantage of everything Fidelity has to offer.

### CLIENT SERVICE MANAGERS

Additional dedicated support, responsible for handling more complex service, research, and problem resolution requests using our case management tools.

### OPERATIONS SERVICE TEAMS

Our DBS back-office teams, focused on the day-to-day maintenance of your employee data requirements.

# Giving your employees the support they deserve.

Fidelity offers industry-leading investment and trading products and services to help your employees get the most out of their investments. Whether they're self-directed investors or those looking for help managing their money, or a combination of the two, we have the people, tools, and resources they need to be more confident and successful investors. Here are some of the benefits of working with Fidelity:

## PRODUCTS AND SERVICES FOR YOUR EMPLOYEES

### GREAT VALUE

Highly competitive pricing, select commission-free online purchase of iShares® and Fidelity ETFs for purchase online and cash management services

### GUIDANCE AND RESEARCH

Planning, powerful screening and planning tools; and specialists in trading, fixed income, and managed accounts

### INVESTMENT CHOICE

Stocks, bonds, ETFs, options, annuities, more than 5,000 mutual funds, and professional account management through Fidelity Portfolio Advisory Service®

### EDUCATION

Our Learning Center provides in-depth investment articles and videos to help you learn about and implement new investing strategies

## A WIDE RANGE OF COMPLIANCE AND INVESTMENT SERVICES

To explore the ways that DBS can work with you to develop a world-class compliance monitoring program and support your employees through their financial lifetime, please call **877-612-2047**, email **FidelityDBS@fmr.com**, or visit **Fidelity.com/DesignatedBrokerage**.

**Free commission offer applies to online purchases of Fidelity ETFs and select iShares ETFs in a Fidelity brokerage account, which may require a minimum opening balance of $2,500. The sale of ETFs is subject to an activity assessment fee (from $0.01 to $0.03 per $1,000 of principal). iShares ETFs and Fidelity ETFs are subject to a short-term trading fee by Fidelity if held less than 30 days.**

**ETFs are subject to market fluctuation and the risks of their underlying investments. ETFs are subject to management fees and other expenses. Unlike mutual funds, ETF shares are bought and sold at market price, which may be higher or lower than their NAV, and are not individually redeemed from the fund.**

Options trading entails significant risk and is not appropriate for all investors. Certain complex options strategies carry additional risk. Before trading options, contact Fidelity Investments by calling 800-544-5115 to receive a copy of Characteristics and Risks of Standardized Options. Supporting documentation for any claims, if applicable, will be furnished upon request.

Fidelity's Portfolio Advisory Services are services of Strategic Advisers, Inc., a registered investment adviser and a Fidelity Investments company. **These services provide discretionary money management for a fee.**

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For iShares ETFs, Fidelity receives compensation from the ETF sponsor and/or its affiliates in connection with an exclusive long-term marketing program that includes promotion of iShares ETFs and inclusion of iShares funds in certain FBS platforms and investment programs. Additional information about the sources, amounts, and terms of compensation can be found in the ETF's prospectus and related documents. Fidelity may add or waive commissions on ETFs without prior notice. BlackRock and iShares are registered trademarks of BlackRock Inc., and its affiliates.

**Before investing, consider the funds' investment objectives, risks, charges, and expenses. Contact Fidelity for prospectus or, if available, a summary prospectus containing this information. Read it carefully.**

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