

# Broker-dealer banking services

As a broker-dealer it's important to have a banking partner with extensive products and services, a strong capital base, and the ability to fulfill your transaction processing on a timely and high-quality basis. Our securities industry specialists will work with you to develop a strategic plan for your business' needs both now and as you grow.

## Relationship focus.

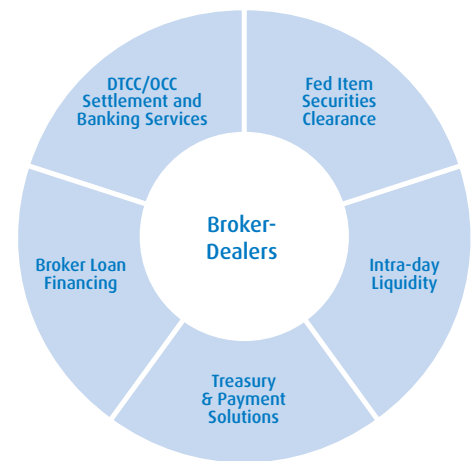
We deliver our services through a dedicated industry team that has been in place more than 50 years, and is staffed with highly knowledgeable industry professionals maintaining, on average, more than 20 years of experience. Our credit, product and operating support professionals work together to help ensure we fulfill your transaction processing needs seamlessly.

## Our customers.

- BMO Harris Bank maintains relationships with more than 80 broker-dealers across the U.S.
- An active DTCC and OCC settlement bank.

## Our team.

- Dedicated team of 20 professionals serving the securities industry.
- Operations and Treasury & Payment Solutions experts specifically dedicated to our broker-dealer clients.
- Risk management staff actively involved in providing timely liquidity to facilitate wire transfer, securities clearing, and exchange settlement transactions.



Learn how we can help, visit [bmoharris.com/securities](http://bmoharris.com/securities).

## At-a-glance<sup>1</sup>

BMO Financial Group	BMO Harris Bank	BMO Capital Markets	BMO Harris Treasury & Payment Solutions	BMO Wealth Management
Approx. \$728 billion in total assets A+ S&P Senior Debt Rating Recognized as one of the 50 safest banks in the world ( <i>Global Finance</i> , 2017)	Almost 600 branches, 1,300 ATMs and 14,000 employees More than 2 million customers	Fully integrated North American investment bank 2,500 professionals in 30 offices worldwide	Experienced U.S. wholesale lockbox provider and ACH originator	Top 25 largest wealth management firm in the U.S. ( <i>Barron's</i> 2017 Top 40 Largest Wealth Management Firms)
				<sup>1</sup> As at 1/31/2018



We're here to help.™

BMO Financial Group is a trade name used by Bank of Montreal.

Banking products and services are provided by BMO Harris Bank N.A. and are subject to bank or credit approval. BMO Harris Bank N.A. Member FDIC.

Investment products are: **NOT FDIC INSURED – NOT BANK GUARANTEED – NOT A DEPOSIT – MAY LOSE VALUE.**

BMO Wealth Management is a brand name that refers to BMO Harris Bank N.A. and certain of its affiliates that provide certain investment, investment advisory, trust, banking, securities, insurance and brokerage products and services. Not all products and services are available in every state and/or location.

BMO Capital Markets is a trade name used by BMO Financial Group for the wholesale banking businesses of Bank of Montreal, BMO Harris Bank N.A. (member FDIC), Bank of Montreal Ireland p.l.c., and Bank of Montreal (China) Co. Ltd and the institutional broker dealer businesses of BMO Capital Markets Corp.(Member SIPC) in the U.S., BMO Nesbitt Burns Inc. (Member Investment Industry Regulatory Organization of Canada and Member Canadian Investor Protection Fund) in Canada and Asia and BMO Capital Markets Limited (authorised and regulated by the Financial Conduct Authority) in Europe and Australia. "Nesbitt Burns" is a registered trademark of BMO Nesbitt Burns Inc, used under license. "BMO Capital Markets" is a trademark of Bank of Montreal, used under license. "BMO (M-Bar roundel symbol)" is a registered trademark of Bank of Montreal, used under license.

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