

# ThinkEquity<sup>®</sup>

## Trading Department

Member of NYSE, FINRA, & SIPC

# What We Do

## Trading Services for Today's Markets

ThinkEquity's Trading Department employs state of the art technology empowering our trading professionals to deliver high and low-touch services to our clients.

Using these tools, we:



Member of:  
NYSE, FINRA,  
& SIPC

- Help Our Customers Implement Their Trading Strategies
- Access Global Liquidity
- Improve Performance
- Manage Risk
- Reduce Overall Transaction Costs



## Technology Infrastructure

- Fully redundant and secure trading infrastructure.
- Support for Equities and Options (Single and Multi-leg).
- Flexible connectivity options via API and our own FIX Hub.
- Co-location capabilities in NY4, NY5, and Mahwah.

## Trading Services

- Early and extended hours trading (4 am – 8 pm).
- Access to ThinkEquity Deals (IPOs, Secondaries, ATMs).
- Custom Trading Algo development.
- NYSE Physical Trading Floor operations access

## Risk Management

- Fully integrated Risk Management tools.
- Customer/Portfolio level risk controls available.

Why  
ThinkEquity?

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# Our Trading Desk

## Technology Utilization

- State-of-the-art trading technology for global liquidity access.
- Early Access to NYSE Imbalance Data starting at 2PM.

## Connectivity and Routing

- Flexible FIX connectivity and routing through FIX Hub and APIs.

## Specialized Services

- Support for Greenshoe overallotments, 10b-18 Company Buybacks, Risk Arbitrage, and Special Situations.
- Access to IPOs, At-the-Market Offerings, and Secondaries.
- Full suite of execution Algos for improved execution quality.



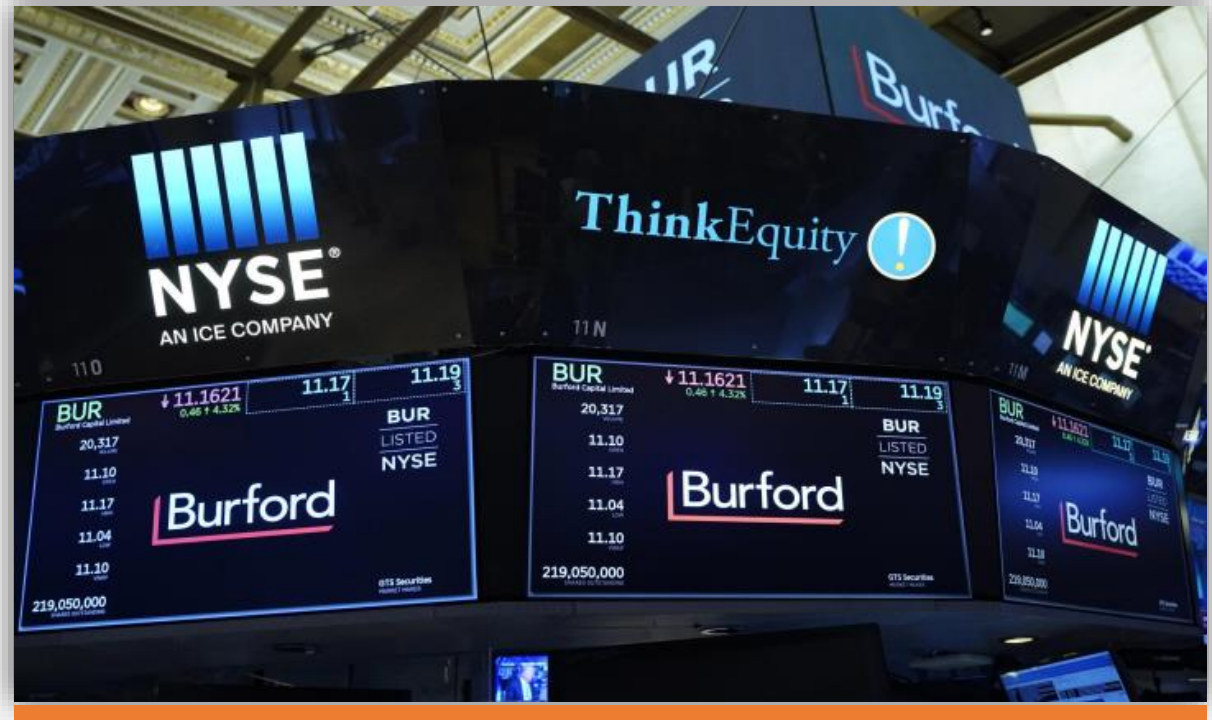
# NYSE Trading Floor Operation

## Direct Access Services

- Direct access to point-of-sale liquidity for IPOs and follow-on offerings.
- "No-Touch" access to NYSE Parity Order types (eQuote and dQuote).

## Trade Types

- Trading of IPOs, Up-listings, ATMs, Follow-ons, Convertibles, Derivatives, Rights Offerings, Share Repurchases, 10b-18 Buybacks, Risk Arbitrage, and Special Situations.



## Algo Strategies

- Usage of multiple Algo strategies to source liquidity.

# Direct Access to NYSE Parity Order Types

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## Parity Order Service

- Enables customers to access NYSE Parity Order Types through ThinkEquity's NYSE floor brokers.
- True "no-touch," seamless, low latency access to NYSE eQuote and dQuote orders.

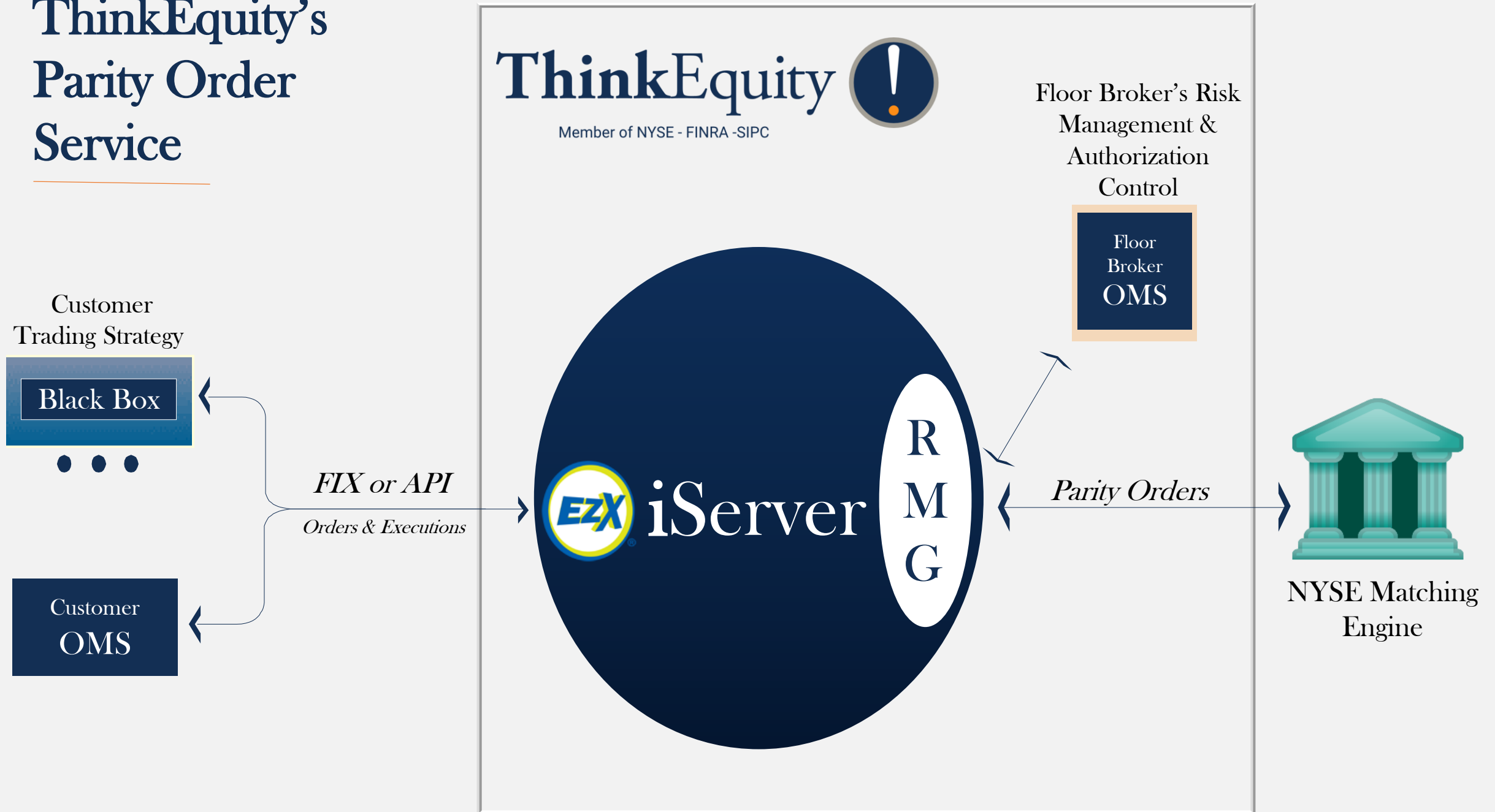
## Advantages

- Support for automated trading firms.
- Easy integration with flexible APIs (Java, C#, C++, FIX).
- Dedicated iServer environment and connections to the NYSE for each client.
- Best-in-class support with custom trade reports and drop copies.

## Risk Management and Support

- Customer and clearing firm risk checks.
- Trusted and Proven service with over 10 years of experience.

# ThinkEquity's Parity Order Service



# Contact Us

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Past performance, whether actual or indicated by historical tests of strategies, is no guarantee of future performance or success. There is a possibility that you may sustain a loss equal to or greater than your entire investment regardless of which asset class you trade (equities or options); therefore, you should not invest or risk money that you cannot afford to lose. System access and trade placement and execution may be delayed or fail due to market volatility and volume, quote delays, system and software errors, Internet traffic, outages and other factors.

## Address

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