# **Our Brokerage Partner:**
# National Financial Services LLC

**Who is National Financial Services LLC?**

National Financial Services LLC is the firm Allegheny partners with to provide trade execution, clearing and other related services for your brokerage account.

Established over 30 years ago, National Financial Services LLC, a Fidelity Investments company, is one of the largest providers of brokerage services, servicing nearly 71 million in accounts representing $7.4 trillion in assets under administration.[1]

**Roles and Responsibilities**

Your broker-dealer, Allegheny Investments, and National Financial Services LLC each play a unique role in servicing your brokerage account(s).

The role of Allegheny Investments:

- Open, approve and monitor your account(s)
- Determine the suitability of the investments in your account(s) based on information you provide to Allegheny
- Respond to any questions or inquiries you have related to your account(s)

At the direction of Allegheny Investments, your broker-dealer, National Financial Services LLC is the custodian of your brokerage account, and is responsible for:

- The execution, clearance and settlement of securities transactions
- Preparing and sending transaction confirmations and period statements of your account(s)
- The custody (or safekeeping), receipt and delivery of funds and securities

**Safeguards for Your Protection**

As a registered broker-dealer, National Financial Services LLC is subject to the rules, regulations and examinations of the Securities and Exchange Commission (SEC), the Financial Industry Regulatory Authority (FINRA), other exchanges of which it is a member, and the Municipal Securities Rulemaking Board (MSRB). These regulatory organizations have specific rules and regulations that National Financial Services LLC must follow to safeguard your assets. Your Allegheny advisor can provide more detailed information on these safeguards.

**Technology to Keep You Connected**

National Financial Services LLC provides clients like you a single point of access to your account(s) through either desktop or mobile devices with the Wealthscape Investor℠ portal. Advantages include easy access, self-service capabilities to market data and research tools, along with paperless e-notifications for new documents.

With their breadth of product offerings, reporting tools, analysis and business support, National Financial Services LLC is a valuable partner to your Allegheny advisor and their staff, enabling them to provide you the highest quality service.

[1] As of March 31, 2019.