



AllianceGlobalPartners

member FINRA, SIPC

**WELCOME TO
A.G.P.**

A.G.P. / Alliance Global Partners is a full-service, regional investment firm and broker dealer registered with the SEC for the past 44 years.

A.G.P. has global reach with 20 locations across the United States, and one related company in Canada.

A.G.P. is a full-service investment firm

A.G.P. / Alliance Global Partners is a regional investment and advisory firm that has been registered with FINRA and the SEC since 1980. A.G.P. specializes in wealth management and the middle market institutional arena. We have Full-Service capabilities with a global ability to handle domestic as well as international customers. A.G.P. prides itself on providing its clients with boutique- level services along with the confidence of knowing their assets are held at National Financial Services LLC (“NFS”), a division of Fidelity Investments® and Royal Bank of Canada (NYSE: RY).¹ Whether a client is looking for wealth management advice, Institutional services, or investment banking, we have a track record and a proven team to assist. We pride ourselves on long-lasting relationships with our clients, ranging from some of the largest institutions and crossing over to the individual investor. We strive to make sure your interests become our interests.





Why A.G.P.?

Cumulatively, our Management Team has more than a century of professional experience in financial services, from the largest institutions, to independent, boutique broker-dealers. Our diverse backgrounds provide a broad spectrum of real-world knowledge and regional, national and global perspectives to wealth management. Collectively, A.G.P. embraces a commitment to excellence and represents an alliance prepared to meet the challenges of the future today.

Our Services

Retail Services

- Alternative Investments
- Asset Management-
Access to hundreds of private money managers
- Global Trading capabilities
- Fixed Income Services
- Insurance Services
- Over 15,000 retail accounts
- Over 170 financial/institutional representatives

Sales/Trading

- Trading Department consists of 4 equity traders and 4 fixed income traders who service institutional and retail clients
- Access to 20+ foreign markets
- Institutional services including:
At the Market Offerings (ATMs) and company buy backs
- Extended hour trading coverage

Investment Bank

- Investment Banking team has participated in over \$26 Billion in aggregate transaction value since 2020
- Expertise in: IPOs, Secondaries, Privates, Pipes, Financial Advisory, ATMs
- Corporate Executive Services
- 15 dedicated members
- U.S. and International based team members

Equity Research

- 8 Senior research analysts with sector experience and skillsets necessary to support our institutional and retail clientele
- Currently publishing research on over 100 companies
- Publish in the following sectors: Biotech, Specialty Pharmaceuticals, Healthcare, Technology and Media, Consumer Goods and E-Commerce, Cannabis, Energy, Industrials, REITs, Business Services, Transportation and Logistics, Metals and Mining

Institutional Services

- Corporate Services, including:
At the Market (ATM) Offerings and corporate Buy-backs
- Research sales coverage capabilities including corporate access and non-deal roadshows
- Direct Market Access (DMA) trading tools, including equity and option algorithms
- FIX compliant connectivity to buy and sell side organizations
- Institutional fixed income team covering Munis, EMS, Corporates, Agencies
- Prime Brokerage Services-serving hedge funds, family offices, professional traders and top-tier investment funds

Insurance

- Licensed individuals ready to assist in life insurance, and annuity planning for clients
- Access to major carriers

Custody and Clearing

FIDELITY INSTITUTIONALSM

Fidelity Institutional provides a comprehensive custody and clearing platform, brokerage services, trading capabilities, and practice management and consulting to registered investment advisors (RIAs), including strategic acquirers and professional asset managers, as well as retirement record keepers, broker-dealer firms, banks, and insurance companies through National Financial Services LLC (NFS) or Fidelity Brokerage Services LLC, Members NYSE, SIPC. In addition to providing services to third-party institutions, the NFS brokerage platform supports all the clearing and custody businesses at Fidelity, including Fidelity's retail and capital markets businesses, bringing NFS assets under administration to over \$13 trillion as of 3/31/2024.



Correspondent
Services

RBC Clearing & Custody is a division of RBC Capital Markets, LLC, member NYSE/FINRA/SIPC. RBC Capital Markets, LLC, is a member of the NYSE, AMEX, CHX, CBOE and PSE and has execution capabilities on all principal exchanges. RBC Capital Markets, LLC is a wholly-owned indirect subsidiary of Royal Bank of Canada, which trades under the symbol RY on the New York Stock Exchange.

¹ A.G.P. also has Clearing Agreements with Interactive Brokers (futures business) and Mirae Asset Securities (special situations).

Timeline

1980

Became a licensed FINRA member and registered with the SEC.

1997

Began offering a broader array of service capabilities, leading to rapid growth in the late 2000s

2009

Registered as investment adviser with the SEC, assembling an in-house money management team to provide internal asset management services to retail customers

Added energy, banking, capital markets and research teams

2010

Enhanced global trading capabilities, servicing over 20 foreign markets, focused on different areas of the global investment marketplace

Entered into agreement with National Financial Services LLC, Fidelity Custody Clearing. Offered specialized mutual fund and SMA offerings

2018

Management team expansion

Expanded retail service offerings

Expanded investment banking services

Expanded capital markets services

Expanded into Chicago markets with new Illinois branch location

Expanded Syndicate and Underwriting and Research capabilities to include technology, consumer, and healthcare Expanded branch locations into Florida (Boca Raton and Miami) Expanded Separately

Managed Account Platform and insurance offerings

Expanded Fixed Income department - Munis, Corporate, Emerging

2018-2019

Inflows of over 1 Billion in customer assets over 12 month period

2019-2021

Entered into agreement with RBC Capital Markets, LLC

Expanded branch locations into New Jersey, South Carolina, and Wall Street, NYC

2022-2025

Expanded into Prime Brokerage Services

Expanded branch locations into Washington D.C. and North Carolina

Locations

New York

New York City – Headquarters 590 Madison Avenue,
28th Floor New York, NY 10022
212-624-2060

Wall Street Branch
40 Wall Street, 48th Floor New
York, NY 10005
212-365-5820

State Street Branch
17 State Street Suite 320
New York, NY 10004
212-365-5820

Long Island Branch
50 Hempstead Avenue, Suite C
Lynbrook, NY 11563
929-342-4275

Connecticut

Westport Branch
88 Post Road West, 2nd Floor
Westport, CT 06880
203-662-9700

California

Newport Beach Branch
1201 Dove Street - Suite 200
Newport Beach, CA 92660
949-863-9500

Santa Monica Branch
1334 Third St. Promenade #301
Santa Monica, CA 90401
310-899-0344

North Carolina

Charlotte Branch
700 East Blvd. Unit 3
Charlotte, NC 28203
212-365-5820

Washington D.C.

D.C. Branch
1701 Pennsylvania Ave Ste 220
Washington, D.C. 20006
212-365-5820

Illinois

Chicago Branch
200 W Jackson Blvd Suite 2850
Chicago, IL 60606
312-392-4260

Arizona

Scottsdale Branch
9375 E Shea Blvd Suite 100 Scottsdale, AZ 85260
480-214-9555

South Carolina

Clemson Branch
602 College Ave, Suite 3
Clemson, SC 29631
864-986-4165

Hilton Head Branch
1000 William Hilton Pkwy Suite C5
Hilton Head, SC 29928
843-420-1993

New Jersey

Holmdel Branch
2137 Route 35 Suite 345
Holmdel, NJ 07733
732-203-0210

Rochelle Park Branch
365 W Passaic Street Ste #275 Rochelle Park, NJ 07662
212-365-5820

Rochelle Park Branch
350 W Passaic Street
Rochelle Park, NJ 07662
732-771-2600

Florida

Boca Raton Branch
Fountain Square, 2700 Military Trail, Suite 230 Boca
Raton, FL 33431
561-763-1833

Boca Raton Branch
2101 NW Corporate Blvd, Suite 211 Boca Raton, FL
33431
786-507-5866

Aventura Branch
19505 Biscayne Blvd, Suite 2350 Aventura, FL 33180
786-507-5866

Maryland

Annapolis Branch
61 Cornhill Street
Annapolis, MD 21401
443-921-1018



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