

**1st Global Capital Corp.**  
**BANK DEPOSIT SWEEP PROGRAM**  
**Participating Bank List**

Additional information about the Program, including the Bank Deposit Sweep Program Disclosure Document, can be obtained at the following URL: <http://www.1stglobal.com/client-resources/Bank-Deposit-Program>.

Bank OZK  
*Little Rock, AR*

Malvern Federal Savings Bank  
*Paoli, PA*

Bank United  
*Miami Lakes, FL*

New York Community Bank  
*Westbury, NY*

Axos Bank  
*San Diego, CA*

Pacific Western Bank  
*Beverly Hills, CA*

Citibank N.A.\*  
*Sioux Falls, SD*

RBS Citizens Bank\*  
*Providence, RI*

Compass Bank  
*Birmingham, AL*

Seaside National Bank & Trust  
*Orlando, FL*

Happy State Bank  
*Happy, TX*

TriState Capital Bank  
*Pittsburgh, PA*

Independent Bank  
*McKinney, TX*

Israel Discount Bank  
*New York, NY*

Valley National Bank  
*Passaic, NJ*

\*Excess Bank. Banks denoted as Excess Banks will accept funds in excess of the maximum applicable FDIC deposit insurance amount in the event that funds equal to the maximum deposit amount (as disclosed in the *Bank Deposit Sweep Program Disclosure Document*) have been allocated through the Program to each bank included on the above Bank List.

The Program Bank List may change at any time. Please consult your financial advisor with any questions.

You may contact your financial advisor to designate a bank as ineligible to receive funds (otherwise known as "opting out" of a bank). Opting out of a Program Bank will affect the amount of your deposits eligible for FDIC insurance.

It is your obligation to monitor the total amount of deposits that you have at each bank, including through bank accounts, certificates of deposit ("CDs"), and deposits held through other brokers for purposes of reviewing deposits which may be eligible for insurance by the FDIC.

Please be aware that FDIC coverage is only available for cash held within this Program, and does not apply to any investments or funds held outside of this Program.

Investments and Insurance Products:

- Are not insured by the FDIC or any federal government agency
- Are not deposits of or guaranteed by a bank or any bank affiliate
- May lose value

The list of participating Program Banks is subject to change. Please visit <http://www.1stglobal.com/clients/Bank-Deposit-Program> for the most up to date Bank list.

1st Global Capital Corp. and 1st Global Advisors, Inc. are not currently affiliated with any Program Bank.

Securities offered through 1st Global Capital Corp., Member FINRA, SIPC. Investment advisory services offered through 1st Global Advisors, Inc.

Bank List as of 3/6/2019.