



---

**FULCRUM SECURITIES, INC.**  
**FULCRUM ADVISORY SERVICES, INC.**  
**A BRIEF HISTORY**

---

Founded in 2003, Fulcrum Securities, Inc. is a full service regional broker dealer registered with FINRA and Fulcrum Advisory Services, Inc. is an investment advisory firm registered with the SEC. Fulcrum is focused on the retail distribution of securities, financial services, and corporate finance. Services include investment counseling, order execution, financial planning, insurance, and investment banking.

The underlying concepts upon which Fulcrum was conceived date back decades to a time when it was the client's experience that was of paramount importance. Fulcrum was founded with the intention of creating an organization in which it was the clients who came first and the investment managers who worked for them felt the better for it.

Our goal is to develop an organization that marries the tradition of providing the very best in client service and advice with state-of-the-art financial resources. We have accomplished this in part by offering highly personalized wealth enhancement solutions via traditional investment options and, strong alternative investment selections. We believe that through our product offering platform we are able to provide our clients with access to one of the finest product suites available in the securities industry today.

As part of this effort, we have established several important strategic relationships including one with The Bank of New York Mellon (Bank of New York) which serves as our clearing firm. The Bank of New York is the largest clearing firm in the world.

And for our investment professionals? We have built a firm that gives our advisors access to a totally open platform of products and services. Our investment advisors have all of the resources and tools necessary to meet the needs of their clients including access to a comprehensive range of investment products and managers and one of the most sophisticated and flexible technological platforms available in the marketplace today.

Fulcrum offers its advisors, branch managers, and executives, the opportunity for direct ownership in the Firm; an uncommon opportunity for most securities industry professionals. Today, a significant portion of Fulcrum's equity is owned by its employees.

Fulcrum is an investment firm with a culture of collegiality and pride: collegiality with each other and our clients, and pride in the knowledge that we are providing both with access to some of the most diverse and best investment options and advice available today.

The Company is headquartered in St. Louis, Missouri with offices in the Washington D.C. area, Indianapolis, Indiana, and New York City.